

UNIVERSITY OF KWAZULU-NATAL

Governance in food security programmes in the OR Tambo District,  
South Africa

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## DECLARATION

I, Justice Maluleke, declare that

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## Dedications

I dedicate this thesis to my colleagues for their efforts and sacrifices aimed at ensuring food security in rural areas. May God bless all your efforts.

## Glossary of acronyms and initialisms

ACDW	: Assistant Community Development Worker
Agri-SETA	: Agriculture Sectoral Education and Training Authority
CADT	: Chief Agricultural Development Technician
CASP	: Comprehensive Agriculture Support Programme
COGTA	: Cooperative Governance and Traditional Affairs
DAFF	: Department of Forestry and Fisheries
DALRRD	: Department of Agriculture, Land Reform and Rural Development
DEG	: Digital Era Governance
DRDAR	: Department of Rural Development and Agrarian Reform
EC	: Eastern Cape
ECETS	: Eastern Cape Economic Transformation Strategy
ECRDA	: Eastern Cape Rural Development Agency
EDGE	: Essentially Digital Governance
FAO	: Food and Agricultural Organisation of the United Nations
FPP	: Food Production Policy
FS	: Free State
GDP	: Gross Domestic Product
GP	: Gauteng
IDP	: Integrated Development Plan
IFAD	: International Fund for Agricultural Development
IFSS	: Integrated Food Security Strategy
IGR	: Inter Governmental Relations
KPA	: Key Performance Areas
KZN	: KwaZulu-Natal
LAN	: Liquid Ammonium Nitrogen
LED	: Local Economic Development

LIP : Livestock Improvement Plan  
LM : Local Municipality  
LP : Limpopo  
M&E : Monitoring and Evaluation  
MP : Mpumalanga  
NC : Northern Cape  
NDA : National Department of Agriculture  
NDA : National Development Agency  
NGO : Non-Governmental Organisations  
NPFNS: National Policy on Food and Nutrition Security  
NPM : New Public Management  
NPO : Non Profit Organisations  
NW : North West  
PVG : Public Value Governance  
RSA : Republic of South Africa  
SAGRIPP: Siyazenzela Agricultural Participation Programme  
SCOPA: Standing Committee on Public Accounts  
SMME: Small and Medium Enterprises  
UK : United Kingdom  
UKZN: University of KwaZulu-Natal  
UN : United Nations  
UNDP: United Nations Development Programme  
UNESCAP: United Nations Economic and Social Commission for Asia and the Pacific  
USA : United States of America  
WC : Western Cape  
WFP : World Food Programme

## **Abstract**

*Using a qualitative approach based on semi-structured interviews, this study investigated the role of organisational culture, coordination, planning, monitoring, and evaluation affects good governance, i.e., effectiveness, efficiency, responsiveness, accountability, and the approach to governance in food security programmes in the OR Tambo District. Literature is often silent on factors impacting food security governance in rural municipalities. Fifty-eight purposively selected individuals participated in the face-to-face interviews. Collected data was analysed using Thematic analysis. The study finds that organisational culture impacts good governance in the implementation of food security programmes. The Department of Rural Development and Agrarian Reform (DRDAR) and the Department of Social Development mainly use the top-down approach, with the local government mainly using a bottom-up approach to the implementation of programmes. Within this context, the lower-level employees of DRDAR feel that they are not involved in decision-making. Further, some state agencies implementing food security programmes are highly centralised while others are decentralised. The centralisation of certain services by the Head Office of the DRDAR to address procurement delays, are only effective when decisions are taken timeously when there were contracts with service providers. It was also established that most challenges faced by food security policy implementation in the District are attributed to planning and coordination while the one-size-fits-all approach used in project implementation is detrimental to efficiency, effectiveness, and responsiveness. It is recommended that food security implementation finds a solution to the challenges of planning, coordination, and the politics-administration dichotomy. Further, effective consequence management mechanisms, monitoring and evaluation are to be established to enhance programme effectiveness. A favourable work climate and organisational learning will go a long way in improving programme impact. The theoretical contribution of the study is that contrary to the notion that the bureaucratic approach to governance is 'long dead', food security implementation in the Eastern Cape, specifically in the OR Tambo District, still retains many aspects of a bureaucratic approach. Further, contrary to the general belief that the New Public Management has replaced the bureaucratic approach as a model of public policy implementation, this study found very little evidence to support that notion.*

**Key words:** Centralisation, decentralisation, top-down approach, planning, coordination, monitoring, evaluation, accountability, efficiency, effectiveness, responsiveness, governance, organisational culture and food security.

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# CHAPTER 1

## 1.1. Introduction

Owing to the increase in population, decrease in agricultural production, climate change and the related ills of poverty and unemployment, food security should be high on the agenda of governments, practitioners and scholars. Food security is fundamental to human existence and is the bedrock of economic, social and physical wellbeing for the development of society. Food security is defined as the availability, access and ability of individuals to utilise food. Good governance is a necessary prerequisite for food security as it influences how the availability, access and ultimately the utilisation of food, are achieved. Governments are increasing their investments in various activities aimed at ensuring food security, such as increasing expenditures and increasing social security, especially to vulnerable groups. Even with huge investments in improving the food security status of vulnerable groups, the impact of such interventions has been minimal. Successful food security interventions require good governance. While good governance may not be the only requirement for the successful implementation of food security interventions, it is likely to contribute to improving their implementation and, thus, their impact. This introductory Chapter provides the background to the study and highlights the key questions that guided the study. In addition, this Chapter provides a background to explain the theoretical and conceptual framework in which the research is couched and the research methodology thereof.

## 1.2. Background to the study

Good governance has received so much attention in scholarly literature owing to the enormous value it creates, as well as to the challenges and many pitfalls resulting from poor governance. Good governance is important for the successful implementation of public policy, including food security (Margulis & Duncan, 2016; Mubangizi, 2013). Mubangizi (2013) refers to good governance as “common sense”, in that it is now generally expected that organisations should have good governance mechanisms in place if they are to make a meaningful impact on society. In the case of public institutions, effective delivery of services depends in the main, on the extent to which such institutions adhere to the practices of good governance. Good governance creates an environment that is conducive to the effective implementation of the agricultural policies necessary for the realisation of food security objectives. According to the Food and Agricultural Organisation (FAO, 2011), the principles of good governance, namely accountability, the rule of law, capable administration, stability and an active citizenry are important for the development of effective policy and actions aimed at enhancing food security.

Food security is a challenge in many parts of the world because of a variety of reasons, including economic conditions, a decrease in agricultural production, increasing population and climate change. Good governance, as a major contributor towards the realisation of food security, is well documented in the literature (Pereira & Drimie, 2016; Igbinedion & Aihie, 2015; Candel, 2013). Governance is about how decisions are made and implemented. The United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP, n.d., p. 1), states that governance can be either good or bad. Graham, Amos & Plumtre (2003) indicate that the principles of good governance include legitimacy and voice, direction, performance, accountability and fairness.

Food security is increasingly receiving attention from politicians, researchers and practitioners. The Food and Agriculture Organisation (FAO) of the United Nations, the International Fund for Agricultural Development (IFAD) and the World Food Programme (WFP) (2015) define food security as a situation where everyone always has sufficient food to meet their nutritional needs and preferences. The definition thus implies stability, availability, access and food utility. Many food insecurity challenges have resulted in the affected countries putting more resources into developing policies aimed at responding to, and addressing the problem. Despite huge investments in food security programmes, evidence shows that the impacts of such programmes are minimal, or at times negligible (Candel, 2014).

There are many reasons for the limited impact of food security interventions. These may include a limited understanding of the contexts under which policies are implemented, limited information on good governance in the implementation of programmes and limited information on the complexities associated with coordination, planning and monitoring and evaluation in the implementation of food security programmes. Scholarly literature is almost silent on how an institutional element, namely organisational culture, affects the implementation of food security programmes. Organisations are influenced, shaped and driven by institutional elements, including their organisational cultures: these elements determine their structures and organisational practices (Berthod, 2016). Molnar (1999) found culture and social organisation to be determinants of food security.

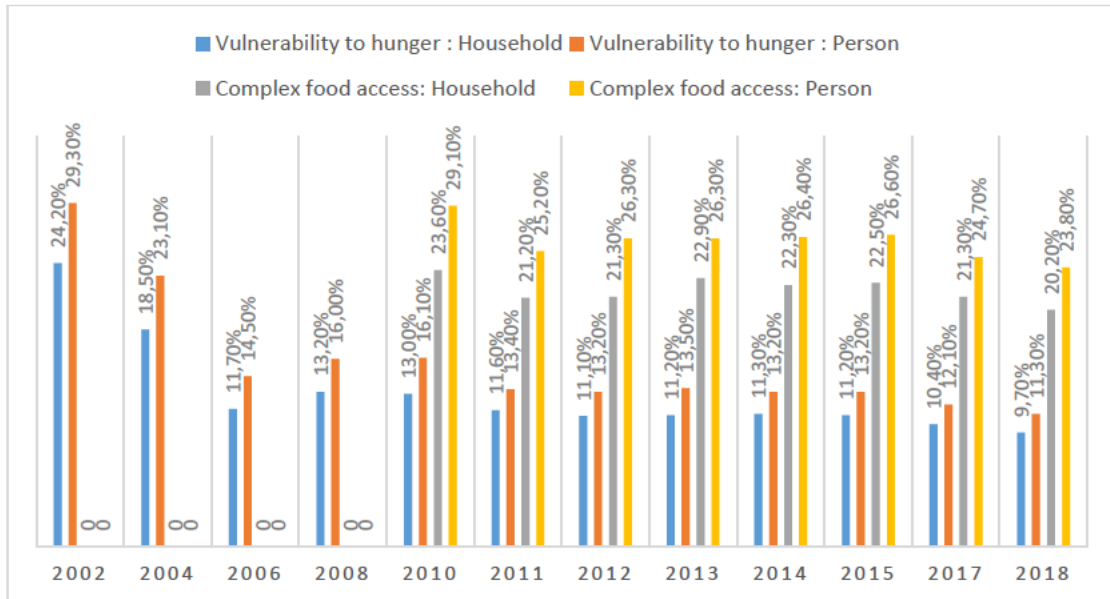
There is very little information on the specific factors necessary for the effective implementation of food security programmes in rural areas. A better understanding of what is required could lead to the improved implementation of these programmes. This study will contribute to understanding the complexities of programme implementation in rural areas, as well as factors that influence governance decisions. There is a tendency in the South African context to assume that what works in urban areas will also work in rural areas.

Food insecurity appears to be more prevalent in rural areas than in urban areas (Crush, Frayne & Pendleton, 2012) but there is an acknowledgement that urban residents are not necessarily food secure. Smith (2016) found high levels of poverty and food insecurity in South African cities, confirming that poverty is not only a rural problem. Limited natural resources may be a major contributor to food insecurity in urban areas while the availability of natural resources could be a major advantage to addressing food security in rural areas. If utilised efficiently and effectively, natural resources in rural areas could make a meaningful contribution to food security. This would require good governance on the part of the state, which continues to play a vital role in the pursuit of food security objectives. This study was conducted in a rural setting and its findings may have more impact in that space, given the high number of households involved in some form of food production.

The policy framework and governance framework for food security in South Africa is informed by the Constitution of the Republic of South Africa (Act 108 of 1996). Section 27 of the constitution states that everyone has the right to access to food and that the state should take reasonable measures to ensure progressive realisation of that right. Further, section 28 (Sub-section c) indicates that every child has a right to adequate nutrition. In response to

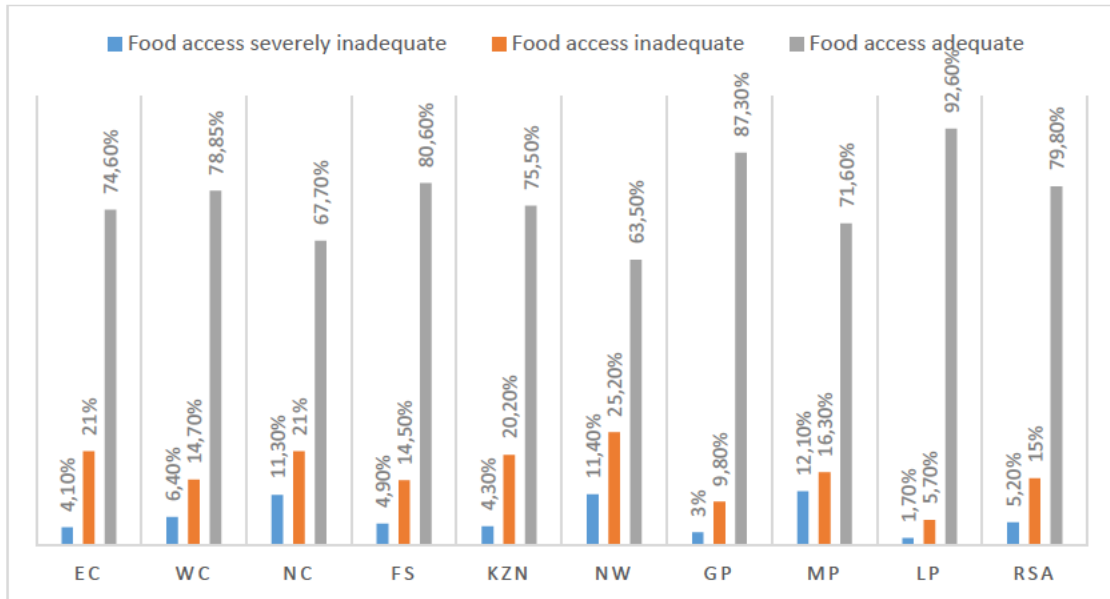
Sections 27 and 28 outlined above, the national Department of Agriculture now referred to the Department of Agriculture, Land Reform and Rural Development (DALRRD) developed the Integrated Food Security Strategy (IFSS) in 2002. The strategy was meant to streamline, and thus ensure better institutional response to food security challenges. Further, it aimed to improve the governance, integration, coordination, financial management and administration of food security interventions in all spheres of government. Despite good intentions, the impact of the IFSS was minimal. The failure of the IFSS was attributed to poor institutional arrangements, inclusive of poor integration and coordination, and a failure to have a holistic approach to addressing food security challenges (Driemie & Ruysenaar, 2010). Because the IFSS did not achieve the expected results, the Republic of South Africa (RSA), developed the National Policy on Food and Nutrition Security (NPFNS) in 2013. In order to respond to food security, the Eastern Cape's DRDAR developed its Food Production Policy (FPP) in 2018. The FPP is meant to improve food and nutrition security, encourage partnerships and contribute to increased farmer development and support. Further, it is more focused than other policies and details the implementation process.

Because of the limited success of the IFSS, the NPFNS was developed and was seen as having the potential to better address some of the challenges inherent in its predecessor, the IFSS. Evidence shows that various initiatives (not only limited to food security) by the South African government are having a positive impact on reducing hunger and improving food access. This is shown by a national decline in vulnerability to hunger by 18% (i.e. from 29.3% to 11.3%) at person level, and by 14.5% (i.e. from 24.2% to 9.7%) at household level between 2002 and 2018 (see Figure 1). Access to complex food at personal and household levels has also decreased by 5.3% (i.e. from 29.1% to 23.8%) and by 3.4% (from 23.6% to 20.2%) respectively (See Figure 1).



**Figure 1:** Vulnerability to hunger and complex food access (Statistics South Africa, 2018, p. 66).

The above statistics are an indication that even though food is becoming more accessible nationally, a significant section of the population is either vulnerable to hunger or lacks access to complex food. Unfortunately, provincial statistics are not available. Another limitation is that the food access variable was not measured for earlier years, but only from 2010 onwards. Only 74.6% of Eastern Cape households have adequate access to food with the remaining households experiencing severe food access inadequacy or food access inadequacy (See Figure 2). Food access for the Eastern Cape is 5% less than that of the national average. Limpopo province has the highest food access (at 92.6%), followed by Gauteng at 87% (See Figure 2). It is not clear why there are such marked differences in food access between provinces.



**Figure 2:** Food access per province (Statistics South Africa, 2018, p. 67).

Almost 40% of Eastern Cape households practice some form of agriculture (Statistics South Africa, 2018). Government (national, provincial and local) continues to be a major role player in the provision of agricultural support, namely extension support, provision of agricultural inputs, medication for farm animals, and infrastructure to the farming communities. To a limited extent, non-governmental organisations (NGOs) are also making some contribution to the provision of agricultural support to households, in order to contribute to the eradication of hunger. Very little information is available on food security, governance and policy implementation in the Eastern Cape and to the OR Tambo District in particular.

The research on which this thesis is based was conducted in the OR Tambo District of the Eastern Cape. To allow for a better understanding of the study context and also to lay a foundation for the understanding and interpretation of the study findings, a basic socio-economic profile of the OR Tambo District follows.

As can be seen in Table 1, the District is characterised by high unemployment, traditional dwellings, and limited access to running water. Some households are still without electricity. Lastly, the involvement of households in agricultural activities varies between municipalities from 32.1% to 53.9%. Agricultural activities, on whatever scale, do make some contribution to food security and nutrition.

**Table 1:** Socio-economic profile of local municipalities making up the OR Tambo District (compiled from Statistics South Africa, 2011 and 2016).

	Ingquza Hill		Port St Johns		Nyandeni		Mhlontlo		King Sabata Dalindyebo	
	2011	2016	2011	2016	2011	2016	2011	2016	2011	2016
Population	278,481	303,379	156,136	166,779	290,390	309,702	190,751	189,176	450,287	488,349
Gender										
Male	46.3%	47.1%	45.8	46.2	46.2	46.4	46.4	47.0	46.0%	46.5%
Female	53.7%	52.9%	54.2	53.8	53.8	53.6	53.6	53.0	54%	53.5%
Unemployment rate	51.6%	-	50.3	-	44.8	-	49.1	-	38.3%	-
Housing										
Formal	40.5%	40.0%	24.6	36.9	33.8	36.8	34.3	41.5	60.2%	51.8%
Traditional	58.0%	57.0%	74.0	62.2	64.6	62.1	62.7	54.7	36.7%	45.9%
Access to water	31.0%	18.3%	35.0	18.7	44.5	29.2	61.8	48.7	61.2%	57.2%
Access to electricity										
Lighting	61.9%	84.9%	68.2	82.7	71.1	81.9	71.4	84.3	73.5%	85.0%
Cooking	35.9%	57.9%	31.3	50.2	40.0	63.8	43.8	71.4	57.8%	77.3%
Households practising agriculture										
	-	53.9%	-	47.0	-	53.7	-	40.7	-	32.1%

This section provided the background of the study by contextualising the study within the broader discourse of food security and governance. Further it provides the basis of food security pursuit within the South African context in general as well as the Eastern Cape specifically. The next section provides the statement of the research problem.

### 1.3. Statement of the research problem

As a public sector institution, the DRDAR is accountable to the citizens through the Eastern Cape provincial legislature. This accountability requires the DRDAR to compile an annual report which it presents to the legislature together with the report of the Auditor General.

A review of the annual reports of the Auditor General and the Accounting Officer of the DRDAR over a period of 13 years, i.e. from 2007-2020, highlights a number of challenges such as:

- Fruitless and wasteful expenditure,
- Poor definition of concepts and a lack of measurable objectives in the strategic plan,
- Under-expenditure,
- Non-compliance with financial guidelines,
- Not following recruitment processes,
- “Non reliability” of reported performance,
- Not meeting performance targets,
- Inability to attract specialists associated with critical and scarce skills, and
- Organisational structure not aligned to the mandate of the Department, amongst other things.

All the above indicate a limited availability of information on factors influencing good governance in implementing food security programmes in rural areas of the OR Tambo District. The abovementioned challenges are symptomatic of problematic internal accountability mechanisms, planning, internal controls, coordination and principal-agency issues. All these may compromise good governance mechanisms, including performance, i.e. efficiency, effectiveness and responsiveness, and accountability. Further, very little information is available on food security coordination, planning, monitoring and evaluation. Lastly, very little information is available on the impact of organisational culture on food security. This is critical since organisational culture influences how decisions are taken. This study aims to determine factors impacting food security governance in the OR Tambo District. Literature is often silent on factors influencing food security governance in rural municipalities. This study will attempt to contribute to the discussion within this space.

If the problems are not addressed, provincial and local governments will continue to miss an opportunity to maximise the impact of food security programmes on targeted beneficiaries. The following discussion contextualises the study.

As discussed earlier, the DRDAR is facing challenges relating to good governance in the implementation of food security programmes. To date, no study has been done on good governance and policy implementation in the OR Tambo District of the Eastern Cape. Given that about 40% of Eastern Cape households practice some form of agriculture, and that some sections of that population are either involved in a complex food system (i.e. difficulty in accessing food) or are vulnerable to hunger, it is important for food security governance to be understood better. This study contributes to a better understanding of the complexities involved in good governance in the implementation of food security programmes. Specifically, the study will indicate how organisational performance (effectiveness, efficiency and responsiveness) and accountability affects food security implementation in the OR Tambo District, and highlight the similarities and contrasts in food security implementation strategies of the DRDAR, local municipalities, the Department of Social Development and one NGO. In addition, it will explain how coordination, planning, monitoring and evaluation in the implementation of food security programmes is taking place, and how organisational culture affects the implementation of these programmes. All the above will contribute to laying the foundation for improved food security outcomes.

The challenges raised by the Auditor General and the Head of Department that were highlighted in the statement of the research problem, do not apply directly to food security, however it can be argued that a compromise in interdepartmental governance mechanisms, as outlined above—negatively affects internal accountability mechanisms, internal controls, coordination, planning and principal-agency relationships. All these factors have a direct bearing on the pursuit of service delivery objectives, including the implementation of food security programmes by the DRDAR. It is not clear exactly how compromises in internal governance mechanisms impact on good food security governance. An assumption could be made that in one way or another, and no matter how minimally, the observed compromises in internal governance mechanisms will affect food security programme implementation, which is unfortunate given that the vision of the DRDAR is a “*vibrant and sustainable livelihoods and food security for all*”

Very limited information is available on good governance in the implementation of food security programmes by local government in South Africa. Local government institutions currently have neither food security policies nor a framework for the implementation of food security programmes, they are guided by Local Economic Development (LED) strategies and Integrated Development Plans (IDPs), all of which barely deal with the fine detail of food

security. Also, there is very little information on good governance in the implementation of food security programmes by the Department of Social Development. This is not surprising though, given that their main focus is social welfare generally.

The limited availability of information on good governance in the implementation of food security programmes in different contexts, is one of the major contributors to the limited success of such programmes. Literature does acknowledge the importance of good governance in the implementation of food security programmes, but it does not clarify how this actually happens. In addition, the influence of institutional elements in the context of the implementation of food security programmes is not well understood, as there is very little information about it.

The role played by institutional elements is seldom emphasised, especially when it comes to food security governance. While institutional elements are acknowledged, their influence on good food security governance is usually not given much attention. Institutional factors do have an effect on governance, including how policy implementers at local level, i.e. “street-level” (hereafter referred to as street-level) professionals, go about policy implementation. Organisational culture is an institutional element of interest in this study, given its influence on organisational processes.

Literature though, is silent on:

- How organisational performance (effectiveness, efficiency and responsiveness), accountability and approach to governance affects food security implementation,
- How coordination, planning, monitoring and evaluation in the implementation of food security programmes can be improved,
- How organisational culture, a variable of institutional theory, affects the implementation of food security programmes,
- How local contexts influence the implementation decisions by implementing agents.

#### 1.4. Research questions

- How does organisational performance (effectiveness, efficiency and responsiveness), accountability and approach to governance affect food security implementation in the OR Tambo District?
- How can coordination, planning, monitoring and evaluation in the implementation of food security programmes be improved?
- How does organisational culture, a variable of institutional theory, affect the implementation of food security programmes?
- How do local contexts influence the implementation decisions by implementing agents?

#### 1.5. Research objectives

- To assess how organisational performance (effectiveness, efficiency and responsiveness), accountability and approach to governance affects food security implementation in the OR Tambo District Municipality.
- To determine how coordination, planning, monitoring and evaluation in the implementation of food security programmes can be improved.
- To determine how organisational culture affects the implementation of food security programmes.
- To determine how local contexts influence the implementation decisions by implementing agents.
- To provide recommendations for policy improvement.

## 1.6. Research methodology

This section gives an overview of the research paradigm, the study approach, data collection strategy and sampling strategy.

### 1.6.1 The research paradigm

This study is influenced by the constructivist paradigm. Constructivists believe in the social creation of knowledge i.e. knowledge is created through the interaction of the researcher and the participant. This paradigm works on the assumption that absolute truth does not exist. Further, the constructivist paradigm follows an interpretive approach and accepts the subjective nature of knowledge.

### 1.6.2 The study approach

A case study approach was used. This approach is used when the research area cannot be separated from the organisational context and also allows for the use of multiple data sources (Cameron & Price, 2009). Given that food security governance cannot be separated from the organisational context and has to be interpreted and understood within that context, and that an in-depth understanding of the research problem was needed, the selection of the case study method was justified. In addition, case studies provide the opportunity for choosing cases that will provide detailed research data (Noor, 2008). According to Blatter (2008), case studies provide “depth” to the analysis, the latter being the extent of empirically complete, conceptual richness, natural wholeness and theoretical completeness.

The case study approach combines individual interviews with company records analysis and observations. This approach uses multiple methods to get perspectives about processes, events or situations in a single organisation, either over a period of time or at a particular point in time. An analysis of an organisation will usually culminate in a research report. A case analysis, also referred to as the case write-up, is a report generated from an analysis of a research phenomenon and is meant to give a better understanding of specific processes (Cooper & Schindler, 2014).

In the context of the current study, the case analysis is meant to provide an understanding of good governance in the implementation of food security programmes in the OR Tambo District. Case analysis is also employed as a methodology to answer “why” and “how” questions and is usually associated with either descriptive or explanatory study. The current study is descriptive. Descriptive studies describe research phenomena (Cameron & Price, 2009). This study will describe the implementation of governance practices in the implementation of food security programmes in the OR Tambo District.

Case study approaches can be qualitative, quantitative or a combination i.e. mixed methods. The current study uses the qualitative approach as the study questions can be only answered using this approach.

#### 1.6.3 Data collection strategy

Semi-structured interviews were conducted with DRDAR officials, local government officials, Department of Social Development officials and one Agri-SETA official involved in food security programmes within the OR Tambo District. Semi-structured interviews were used to collect research data in order to answer research questions. In addition to semi-structured interviews, documents were used as a source of research data. These were analysed and served to validate information collected through interviews. The use of multiple methods within the same study is called triangulation. Triangulation assists in helping to answer research questions, whilst at the same time contributing to enhancing the trustworthiness of the research findings.

#### 1.6.4. Sampling strategy

The study used a non-probability sampling strategy, specifically purposive sampling. Purposive sampling involves the selection of individuals and materials best placed to assist the researcher to answer research questions. Fifty-eight purposively selected individuals constituted the study sample.

#### 1.7. Significance of the study

This study brings to light how three factors, firstly organisational culture, which is a variable of institutional theory, secondly the variables of organisational theory i.e. coordination, planning, monitoring and evaluation, and thirdly the variables of governance theory i.e. effectiveness, efficiency, responsiveness and accountability, affect good governance in the implementation of food security programmes in the OR Tambo District of the Eastern Cape. The study thus combines some good governance, institutional, organisational theory variables, in explaining the implementation of food security programmes in rural areas.

### 1.8. Justification/rationale of the study

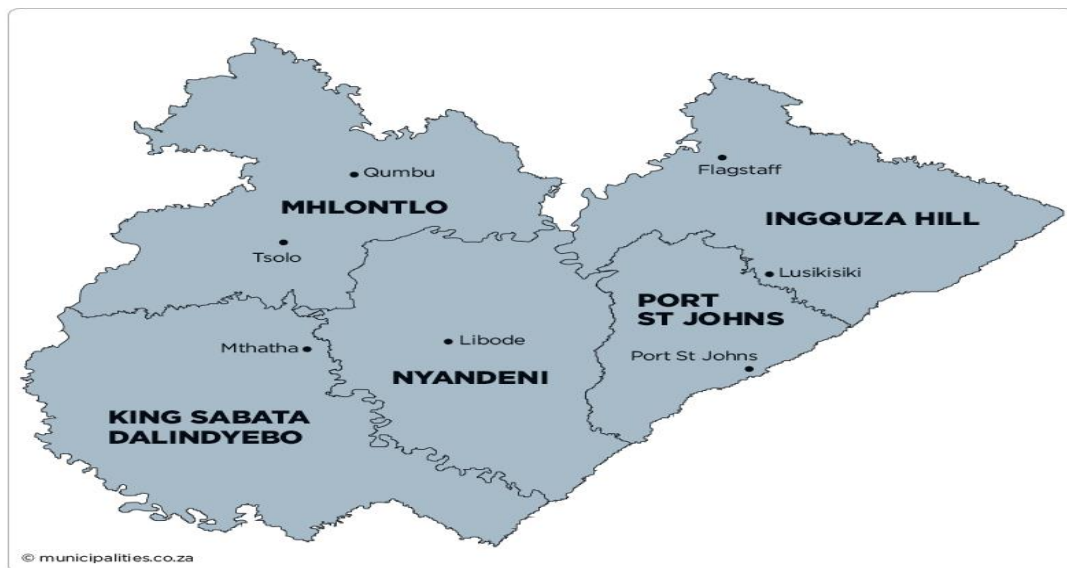
The study aims to understand how governance affects the implementation of food security programmes in the OR Tambo District in the Eastern Cape. The study contributes to understanding governance in relation to food security programme implementation in rural areas with a view to improving its efficacy and impact. While food security has been extensively studied, the discussion on its governance is largely normative and characterised by little convergence. While there are many studies in food security in South Africa, empirical studies on food security governance are almost nonexistent. As far as this study is aware, no empirical research on food security governance in the OR Tambo District has been conducted. Further, literature in the main is silent on specific factors impacting on food security governance in rural municipalities. This study will thus provide recommendations for improving food security governance within the rural context.

### 1.9. Delimitation of the study

The study was based in the OR Tambo District in the Eastern Cape Province. The OR Tambo District is predominantly rural with an estimated population of about 1.5 million (Statistics South Africa, 2018). A geographical map of South Africa's nine provinces including the Eastern Cape is shown below (see Figure 3). The Eastern Cape comprises six district municipalities including the OR Tambo on which the study is based. Further, the OR Tambo District is constituted by five local municipalities (please see Figure 4)



**Figure 3:** Map of the Republic of South Africa (Statistics South Africa, 2019).



**Figure 4:** Map of the OR Tambo District (Statistics South Africa, 2019).

The study is restricted to the OR Tambo District of the Eastern Cape Province. The study sought to understand food security governance in the District. Due to the decentralised nature of policy implementation and in the context of intergovernmental relations, the study was conducted in the DRDAR’s respective offices in Ingquza Hill, Port St Johns, Nyandeni, Mhlontlo, and King Sabata Dalindyebo local municipalities, as well as Bisho (Head Office) Eastern Cape, who provide oversight to food security implementation in the OR Tambo District. Beyond this however, the study involved local government officials, Department of Social Development officials based in the OR Tambo District and its constituted local municipalities: Ingquza Hill, Port St Johns, Nyandeni, Mhlontlo, and King Sabata Dalindyebo. Further, the study included an Agri-SETA official involved in food security within the District. The study focused on the implementers of the food security programmes in order to shed some light on public policy implementation in the District.

#### 1.10. Limitations of the study

There is an abundance of scholarly literature on food security but there are very few empirical studies on food security governance in the South African context, thus limiting academic grounding and informed policy recommendations. Further, food security governance studies are in the main normative; based on different conceptualisations and general principles of governance theory. More studies on food security governance in different contexts in South Africa are needed to enhance academic grounding and inform policy.

Another limitation of this study is that it will not include quantitative household surveys that would assist in better understanding the impact of food security programmes on beneficiaries

of the Eastern Cape Province's food security programme. Further studies that focus on the quantitative approach are recommended, as the current study's research questions can be best answered using the qualitative approach. More qualitative studies will also contribute to the development of hypotheses which can be tested and thus contribute to improved food security programmes' impact.

### 1.11. Organisation of the thesis

#### **Chapter 2:** Literature review and conceptual framework

The chapter reviews the literature on which the study is couched and provides the conceptual framework guiding the study. The chapter begins with conceptual definitions of food security, governance, good governance, and policy implementation. Further, complexities linked to governance, benefits of good governance, principles of good governance, nexus between food security and good governance, institutions and governance, food security and associate complexities, factors impacting on food security, and theory behind policy implementation are provided. The study also conceptualises the study within the Eastern Cape policy implementation strategy. A detailed discussion on food security governance is also provided.

#### **Chapter 3:** Theoretical framework

The theoretical framework guiding the study and in which it is embedded is explored. These theories are governance, institutional and organisational theories. Various discourses, paradigms, conceptualisations, controversies, and synergies are explored. The power of institutions in explaining reasons behind the formation of organisations, adoption of new and unlearning of new practices are explained, as are powers that organisations have on the institutional environments and vice versa. The conceptualisation of the theoretical framework within the study is established.

#### **Chapter 4:** Research Methodology

The paradigm, research approach, and design are presented, including study sites, sampling strategies, sample size, data collection strategy, data quality control, and data analysis. Ethical considerations are outlined. A detailed discussion of the case study approach is also provided and contextualised within the current research. The strengths and limitations of the case study approach are also highlighted. The Thematic analysis utilised in research data analysis will be discussed in detail. The theory behind data quality control in qualitative studies will also be discussed.

**Chapter 5: Results and discussion**

Results based on the collected data and documents are provided and discussed as informed by study objectives and the conceptual framework guiding the study. Results are presented as themes and supported by interviews and document extracts. The chapter conceptualises the theoretical framework within the study findings. Further, the relationship between study findings and current debates within the field of public administration is established.

**Chapter 6: Conclusions and recommendations.**

Conclusions are drawn, and recommendations to improve practice and policy are made. These are drawn based on empirical findings and as informed by study themes, conceptual framework, and study objectives. Theoretical implications of this study are also provided. The chapter ends with a conclusion.

**1.12. Summary**

The chapter began by placing governance within the context of food security and by clarifying the nexus between good governance and food security. It went on to outline the study focus so as to put the study in context. It discussed various legislative frameworks governing food security nationally, provincially and locally, and highlighted policies guiding food security in the South African context. Following the background, the chapter gave the statement of the research problem, focusing on the research phenomena under consideration, as well as the consequences if the study were not conducted. Following the statement of the research problem, gaps in the literature forming the basis of the study were outlined. The chapter also indicated research questions central to the study which should be answered for the study to achieve its objectives. The research objectives were outlined and guided the research. Following research objectives, the research methodology was discussed briefly. Components of the research methodology included are the study site, the research paradigm, the study approach, data collection strategy and sampling strategy.

The next chapter reviews the literature relating to good governance, food security and policy implementation.

## **CHAPTER 2: LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK**

### **2.1. Introduction**

This chapter reviews the literature guiding the study and on which the research is premised. It gives an account of various studies conducted into food security and good governance, as well as establishing the nexus between food security and good governance. The chapter then discusses policy implementation and associated models and approaches, contextualises research objectives within the current strategies relating to governance, food security, and policy implementation by the Eastern Cape provincial government. Following a review of literature, which ends with literature gaps the study aims to address, the study discusses the conceptual framework and concludes with a summary.

### **2.2. Conceptual definitions of key concepts in this study**

Food security has attracted a lot of attention among scholars, politicians, and practitioners because of threats to food security or the prevalence of food insecurity. The FAO, IFAD and WFP (2015:53) define food security as:

*A situation that exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life* (FAO, IFAD & WFP, 2015, p. 53).

While there are many definitions of food security in the literature, the above definition by FAO is comprehensive, gives a better perspective of this phenomenon and encompasses four main aspects, namely food access, availability, utilisation, and stability. All four elements need to be taken into consideration when examining the food value chain. The definition further implies that the realities of food security are dependent on physical factors (distance from markets), social aspects (cultural practices that give certain genders and age groups privilege over access to food) and economic complexities (economic means to access food). To ignore these three considerations, would be tantamount to ignoring the context in which food security can be realised. There are countless definitions of food security in literature. This thesis defines food security as the access to and availability of nutritious food, safe for consumption and of sufficient quantity for all people at all times, irrespective of economic, physical or social status. The realisation of food security objectives is, to a large extent, dependent on governance arrangements of countries, organisations and societies. Failure of food security efforts is more often than not placed in the hands of poor governance.

### 2.2.1. Governance

Governance is the way in which decisions are made and implemented (United Nations Economic and Social Commission for Asia and the Pacific, nd.). Weiss (2000) indicates that governance is the collective ways, including structures and processes, of managing the affairs of the state for ensuring public good. Governance is linked to national administration (Weiss, 2000). Integrating the above definitions, this thesis defines governance as the decision-making process influencing structures and processes that are essential for the successful implementation of public policy. The myriad definitions in the literature, present conceptual and implementation challenges. Weiss (2000) indicates that even though governance has become fashionable in recent years, the concept is not new and was developed as a result of dissatisfaction with economic and social development by state organisations. Governance may be good or bad.

### 2.2.2. Good governance

Good governance is the extent to which institutions are democratic, characterised by respect for human rights and the rule of law, transparency and accountability, efficiency, effectiveness and responsiveness, and equity (United Nations Economic and Social Commission for Asia and the Pacific, nd.). Scholars such as Mubangizi (2013), von Braun (2009) and Hupe and Hill (2002), agree that good governance is essential for the effective implementation of public policy. Further, failure of public policy is linked to the development of poor policies, as well as poor policy implementation (Molnar, 1999).

### 2.2.3. Policy implementation

Literature abounds with definitions of policy implementation. Despite many definitions, there is generally no accepted definition of policy implementation. Majone and Wildavsky (1973, p. 179), early proponents of policy implementation, indicate that policy implementation is “*forging a causal chain from objectives to results.*” This definition assumes a causal relationship within the policy implementation chain. To date, however, a predictive theory of implementation is yet to be found, thus implying that the causal relationships between various aspects of policy implementation have yet to be fully understood. Another definition of policy implementation is given by Sabatier and Mazmanian, (1980, p. 541), who define policy implementation as a “*process of executing policy decisions*”. These policy decisions comprise objectives and the problem to be solved and are a guide to the implementation process. This thesis defines policy implementation as all processes involved in the mobilisation of resources (human, physical, and natural) and combining them efficiently and effectively in pursuit of

public policy objectives. Only the effective mobilisation of resources can bring about the realisation of policy objectives. There is also a need to understand the policy implementation contexts so as to enhance the prospects of the successful implementation of the policy. Successful implementation of public policy largely depends on governance. Governance itself is a very complex phenomenon.

### 2.3. Complexities associated with governance

According to Halleröd, Ekbrand and Gordon (2014), social sciences use numerous governance measures, thus making it extremely complex to conceptualise what is being measured, and limiting informed policy conclusions that can be drawn. They conclude that what is being measured is a variable called “quality of government,” which is based on a measure of Gross Domestic Product (GDP). Their view is based on economic considerations only. Good governance has, however, been expanded to include non-financial considerations such as the rule of law, accountability, direction, legitimacy, and fairness, all of which are non-financial.

There is a recognition that the economic view of governance does not fully explain the concept. Governance, when assessed, should use both financial (quality of government) and non-financial measures to give a better perspective of the situation at hand. Another limitation of the argument of Halleröd *et al.* (2014) is that it limits governance to state actors only. Twenty-first century governance however, includes non-state actors (Swyngedouw, 2005, Klaus, 2004) and should be seen to be more democratic.

Formal and non-formal actors and structures, including both the state and non-state actors, are part of the governance arrangements necessary to achieve public good. Public good encompasses both economic benefits and human progress. There are several views about what good governance is. For instance, Asaduzzaman and Virtanen (2016) indicate that good governance is about the efficient and effective administration within a democratic environment. In the main, there is agreement that governance is becoming more horizontal i.e. including other actors outside the state. The role played by non-state actors in governance is increasing. Governance networks are also growing in importance in the governance discourse. Some authors argue that governance has shifted from government to non-state actors. There is however, consensus on the fact that governance is not limited to governments, but that it includes a range of non-state actors.

While the role of non-state actors is increasing, this study views the state as pivotal and at the centre of governance. This view is in line with Katsamunskaja (2016), who sees the state as the main “political actor” in expressing societal interests and concludes that the role of the state in governance, rather than decreasing as it is claimed by some, is transforming. Mubangizi (2013) sees the state, especially local government, because of its decentralisation, as being best placed to deliver services related to food security and agriculture. This view is also held by McCourt (2013), who indicates that powerful and social forces for economic and social change are still in the hands of the state. The state should thus continue honouring its responsibility of delivering services to its citizens. For the state to effectively provide services, this should be done in collaboration with non-state actors. Because of the involvement of non-state actors in governance, there is a need for the state to adapt and transform its governance arrangements.

It is common cause that the world has become a global village. This development even challenges the sovereignty and independence of states. Paarberg (2002) points out that the forces of globalization allow for several phenomena, including trading (exchange of goods and services) beyond national boundaries, the migration of workers, and networks that enable business to be done across geographical borders, thus challenging the sovereignty of states and altering governance arrangements. Globalization, therefore, makes it easy for intra- and inter-state policies and processes to be influenced by phenomena happening elsewhere. Globalization results in the cross pollination of ideas across the globe, which challenges all aspects of organisational functioning, including governance, as practices are quickly adopted from other parts of the world. This adoption of ideas results in the transformation of ideas, beliefs, attitudes, cultures, and practices, which may modify, or even alter, prevailing governance arrangements in terms of nature and content.

Weiss (2000) points out that the atmosphere of governance has changed as a result of globalisation. He further indicates that governance is changing rapidly as a result. Globalisation brings to light the inter-dependence between countries as it alters policy direction and associated structures and processes. Further, globalisation occurs at different rates across nations. Developing nations find themselves being affected by these phenomena and have to shoulder them while having very little influence (UN, 2014). The establishment of the United Nations changed governance discourse. As a result, the boundaries between states, as well as state sovereignty, are being challenged to the extent that they are now almost non-existent (Weiss, 2000). Governance can be either good or bad. Good governance has several benefits.

### **Benefits of good governance**

Despite the abundance of literature on governance, there is generally a lack of consensus on what good governance is. Following a review of literature, good governance can be defined as a combination of the structures, policies, and procedures established by leadership for the pursuit of short and long term objectives of organisations. Structures, policies, and procedures should be implemented in an integrated manner in pursuit of organisational strategy. All the above should happen within the established principles of good governance. Good governance is seen as a source of competitive advantage, ensuring the credibility of organisations, contributing to the attainment of organisational objectives, and promoting social development. Good governance may enhance financial performance and public image. There is consensus among scholars about good governance being essential for ensuring the delivery of services to communities, the country's stability, health, and the social wellbeing of society and economic development (Halleröd *et al.*, 2014). It is thus not surprising that so much attention has been given to governance in the past two decades.

#### **2.4. Principles of good governance**

Graham, Amos and Plumtre (2003) indicate that the principles of good governance include legitimacy and voice, direction, performance, accountability, and fairness. Legitimacy and voice, according to Graham *et al.* (2003), are about every citizen having a right to participate in decision-making and having the right to freedom of speech; direction is about leadership having a long-term vision about good governance and human development, as well as a good understanding of what it will take to achieve such development.

Of the principles of good governance highlighted above, this thesis focuses on the principles of performance and accountability and seeks to understand how these affect food security implementations in the OR Tambo District. Performance encompasses responsiveness, effectiveness, and efficiency (responsiveness is the ability to serve all stakeholders; effectiveness is the ability of the organisation to achieve desired results and efficiency is about making the best use of available resources); accountability refers to the fact that organisations are accountable to the public and it is usually closely linked to transparency. Fairness, according to Graham *et al.* (2003), involves the rule of law and equity. (The rule of law is based on the aspects of impartiality and fairness with equity, referring to equal opportunities irrespective of gender. Performance, on the other hand, is about responsiveness, effectiveness, and efficiency.)

This thesis aims to contribute to improving the performance of public sector organisations, specifically those involved in food security governance. Performance and accountability were chosen as variables of interest, based on challenges identified in the reports of the Auditor General and the Head of Department discussed earlier. Improving performance and accountability is likely to impact positively on service delivery.

The conceptualisation of governance has shifted over the decades. Initially conceptualised as consisting of highly rigid structures, theories of governance have moved towards more flexible approaches, based on democratic principles and inclusivity i.e. good governance. Good governance is essential for the realisation of food security. The next section establishes the nexus between food security and good governance.

## 2.5. The nexus between food security and good governance

In order to achieve food security objectives, it is essential that structures and processes be put in place. Structures and processes are part of the governance arrangements of organisations. Good governance is often seen as a critical aspect in the successful implementation of food security policy. Policy failures, inclusive of those relating to food security, lie in the hands of governance, among other important aspects (Howlett, Ramesh & Wu, 2015). Food security, being a multi-dimensional concept, is affected by many factors, including governance (Wafula & Odula, 2018; Pereira & Ruysenaar, 2012). According to the FAO (2011), good governance is essential for the creation of an environment that is conducive to the effective implementation of agricultural policy to enhance food security and sustainable development goals. The FAO (2011) concludes that good governance is a prerequisite for the realisation of food security objectives, is sector-specific, and thus attention needs to be paid to refining the concept in different sectors, given that challenges associated with it differ according to the context.

Sayeed (2014) investigated good governance in the implementation of food security programmes among extension workers in KwaZulu-Natal. The study used both quantitative and qualitative methods and made the following findings:

- there was regular reporting, both verbal and written,
- there was a disjuncture between framework, policies, strategic frameworks and legislative guidelines which hindered the effective functioning of extension personnel,
- despite targets being set and adherence to accounting practices, the main focus was on compliance, rather than development.

Sayeed made the following recommendations:

- There was a need to put in place monitoring and accountability mechanisms of extension personnel,
- Prioritisation of monitoring and evaluation could improve the prospects of the realisation of policy outcomes.

Sayeed's study emphasised the importance of the alignment of frameworks, policies, and legislative guidelines in the effective functioning of extension services in KwaZulu-Natal. The study also highlighted the importance of ensuring the functional monitoring and accountability mechanisms of extension staff. The study reaffirmed the importance of monitoring and evaluation as an essential aspect of the realisation of policy outcomes. This thesis and that of Sayeed, both examine good governance. The two studies, however, differ in terms of study contexts (KwaZulu-Natal versus the Eastern Cape) with Sayeed focusing on the whole province of KwaZulu-Natal. This thesis focuses on the OR Tambo District, which is only one of the five districts making up the province of the Eastern Cape and thus provides a better opportunity for a more detailed, micro-perspective of food security governance.

Sayeed's study did not investigate the role of organisational culture, performance (effectiveness, efficiency, and responsiveness), governance approach, and local contexts and their impact on food security governance. Sayeed was of the view that accountability should be improved but did not specify the type of accountability and how it could be improved. This thesis focuses on managerial accountability and aims to provide insights on how it can be improved.

Sayeed recommended monitoring and evaluation for improved food security governance but did not specify how to achieve this. This thesis provides recommendations for strengthening good governance within the context of food security. Sayeed's study did not include the role

of coordination and planning as part of its objectives. The current thesis seeks to understand how coordination and planning in the context of food security governance, can be improved. Lastly, the current thesis and Sayeed's research are both guided by a public administration perspective. This thesis, however, in addition, uses multiple theories (institutional, organisational, agency, and governance theories), which may allow more light to be shed on the phenomenon of food security governance.

Candel (2018) indicates that governance is a determinant of food insecurity. Mubangizi (2013) asserts that food insecurity is driven by inappropriate policies and strategies. This view is also echoed by Molnar (1999), who attributes food insecurity to poorly developed policies and policy implementation. Policies and strategies are part of the governance arrangements of organisations. Appropriate governance structures are essential if policy objectives are to be realised. It is thus important for the state to ensure that its policies and strategies are appropriate in pursuit of its service delivery objectives, specifically food security. Governance can occur in different scales, namely local, national, and global.

Mubangizi (2013) asserts that government should promote policies and strategies that are appropriate to the attainment of food security. Such actions will require the state to implement food security programmes in line with the principles of good governance. Governance is not limited to government but includes other stakeholders, such as non-state actors (Weiss, 2000). Mubangizi (2013) sees the state, especially the local government, as being best placed to address food security. Local government will however, require effective governance arrangements.

Currently, power in governance is shifting from the state exclusively, to include non-state actors, including NGO's, non-profit organisations (NPO's), and community activists (Griffin 2012). In the South African context however, due to years of disempowerment by the apartheid regime, it is not clear whether non-state actors, especially members of disadvantaged communities, play a meaningful role in food security governance. Political, as well as community oversight, was found to be necessary for good food security governance in South Africa (Mubangizi & Tshishonga, 2013).

Governance can be a driver of, or a solution to food security challenges. Attention thus needs to be paid to governance arrangements when designing food security programmes (Candel, 2013). Candel asserts that the failure of governance is a major cause of food insecurity. The

notion of governance has shifted from traditional conceptualisations that saw the state being the main role player, to include non-state actors (Weiss 2000). While civil society plays a significant role in governance in developed countries, in the South African context, the state still plays the major role.

Mubangizi and Tshishonga (2013) examined the role of political and community oversight in advancing good food security governance in South Africa. The study used discourse analysis and case studies. It concluded that both political and community oversight were necessary for the realisation of good governance in the successful implementation of public policy.

Mubangizi (2013) sees the state, specifically local government, as best placed to play a meaningful role in food security governance. While it is true that local government generally does contribute to food security, the impact of its intervention in the OR Tambo District, could be enhanced if done in collaboration with the DRDAR, whose main brief is to facilitate food security. This inter-governmental collaboration would, require effective coordination and integration in order to contribute to improving the impact of programmes, because it would increase the availability of resources.

The above discussion indicates the need for appropriate governance arrangements inclusive of firstly, appropriate policy as a necessity and basis for successful food security interventions, secondly, an inclusive and integrated approach, including all role-players within the food security space, to address the challenges of food security and lastly, appropriate governance structures and processes. Very little is known about the appropriateness or deficiencies and strengths of current policy and governance structures and processes in the implementation of food security programmes within the OR Tambo District. This study attempts to understand, and thus provide recommendations for how the current policy, together with associated governance structures and processes, could be enhanced in the context of food security in the OR Tambo District.

A review of the literature shows that very little information is available on the role of organisational culture on food security governance. Thus far, the relationship between good governance and food security in any context, is based on normative assumptions i.e. that what works in one place, will also work in other settings and to the same degree. This study brings to light the importance of policy implementation context.

The relationship between good governance and food security is largely unexplored empirically, especially in the South African context, the exception being Sayeed (2014), who investigated good governance in the implementation of food security programmes by extension workers in KwaZulu-Natal. The role of institutional elements (organisational culture), has been almost completely ignored in the literature on good governance in food security. Literature indicates that institutional elements impact the nature of policies developed, organisational functioning (Meyer & Rowan, 1977; Zucker, 1987) and governance arrangements (Bartley, Andersson, Jagger & Laerhoven, 2008). This study aims to shed some light on how organisational culture impacts on good governance in the implementation of food security programmes.

## 2.6. Institutional elements of governance

Governance relates to institutions, values, norms, and power relations that shape the discourse of food production, distribution, and access (Margulis & Duncan, 2016). There is, therefore, a need to take into consideration all of the above (i.e., institutions, values, norms, and power relations) in the conceptualisation of governance, including governance aimed at improving food security. Unexpectedly, literature on food security and food security governance pays very little attention to institutions, values, norms, and power relations that are influential and inform governance decisions, including the choice of structures and processes.

Molnar (1999) conducted a review of the role of culture (values, attitudes, beliefs, and traditions) and social organisation (rules and principles that shape government decisions) in influencing food security policy and attributed food insecurity to poorly developed policies and poor implementation. According to Molnar (1999), these failures are linked to culture and social organisation that prevent the formulation and consistent implementation of sound policies. Molnar concluded that culture could create a favorable environment for organizing for food security, with social organisation being a determinant of food security. This study provides insights into how organisational culture and social organisation affect food security at household and community levels and also attempts to understand the influence of organisational culture on the daily activities of staff involved in food security implementation. Molnar (1999) indicated that organisational culture, which determines how society is arranged (inclusive of religion, corruption, regulation and markets, technical capacity, and infrastructure), determines food security outcomes. Unlike this study, Molnar's study is largely conceptual and focuses on food security but does not consider the related governance arrangements. Molnar concludes that while governments may provide enablement for

education, research, and infrastructure, effective and efficient institutions are vital in ensuring the proper functioning of markets to motivate producers to make it possible to provide food security for all citizens. This thesis shows how institutional elements affect good governance in the implementation of food security programmes.

## 2.7. Food security discourse and associated complexities

Some studies have investigated food security in South Africa. These studies were conducted mainly in Limpopo, KwaZulu-Natal, and the Eastern Cape provinces. Some of the studies are empirical, some conceptual, and some theoretical.

De Cock (2013), for instance, investigated food security in Limpopo province using qualitative and quantitative methods. The sample size for the study was 599 households located in five districts. This is one of the large-scale studies conducted in the country. The study found that human capital (education level, household size, and dependency ratio), in the district where the household resides, and household income, were determinants of food security. The finding that the district where households were situated is an important determinant of food security status has policy implications, as it brings to light the impact of the policy implementation context on food security. Government thus needs to consider the policy implementation contexts in the distribution of resources aimed at improving food security. Further, human capital should be used as a basis for food security interventions.

Baiphethi and Jacobs (2009) conducted a review of the contribution of subsistence farming activities to food security status in South Africa. The study found that subsistence farming does play a meaningful role in food security. With increased inputs, the impact of subsistence farming on food production can be enhanced. This would, according to Baiphethi and Jacobs (2009), limit reliance on purchasing food from markets and further improve livelihoods. The study found that some households relied heavily on markets for food as they did not produce enough food for their own consumption. Such dependency impacts on food access and stability.

Maziya, Mudhara and Chitja (2017) conducted a study of factors influencing household food security in Msinga, KwaZulu-Natal. The study used structured questionnaires that were administered to 250 households. The research established that household income, marital status, knowledge of fertilizer measurements, household size, educational levels, gender, and the availability of credit facility all contributed to reduced food insecurity. The findings of this

study have policy implications. The South African government should pay special attention to demographic profiles in designing policy interventions. The extent of this consideration or lack thereof, is not known. Faber, Witten and Drimie (2011) conducted an assessment into the role of community-based interventions in food and nutrition security in selected villages in Limpopo and the Eastern Cape provinces. The study used qualitative methods, specifically focus groups, as well as two cross-sectional surveys. The study found homestead gardens made a meaningful contribution to food and nutrition security. Faber *et al.* (2011) highlighted the importance of securing a gardens against destruction by domestic animals, installing irrigation systems for periods of drought, and ensuring the availability of inputs for improved production. The study also emphasised the importance of crop diversity, as it may allow for better nutrition. Emphasis was also put on crop rotation for improving soil fertility as well as for the prevention of crop diseases. Planting of crops at regular intervals was recommended as it allows for food availability over an extended period rather than single bulk plantings (Faber *et al.*, 2011). This study also has policy implications.

Hendriks (2013) evaluated the impact of food security programmes in South Africa. This study is one of a few countrywide studies that evaluated multiple studies, using food-related government publications, inclusive of Statistics South Africa reports, as well as published articles. The study found that the impact of food security programmes is insignificant. Hendriks (2013) highlighted the need to understand why current policy interventions are not yielding the expected results and called for a new policy necessary for the successful implementation of food security interventions. According to Hendriks, such a policy would have a legally enforceable policy implementation framework, together with better coordination mechanisms, defined criteria, evaluation and monitoring mechanisms, and the institutional architecture necessary for the realisation of policy objectives (Hendriks, 2013). The impact of food security programmes is linked to food security governance arrangements. The study by Hendriks indicated inadequacies in current policy arrangements and called for improved policies and responses.

Candel (2014) conducted a systematic literature review of food security governance literature. The study found that the number of empirical studies was low but there were many theoretical or normative studies. The small number of empirical studies was seen as a challenge to sound academic grounding and may be limiting in terms of the quality of recommendations to policymakers. Candel (2014) implied in many ways, but did not directly state, that the current food security governance mechanisms were not effective and concluded that smarter forms of governance for eradicating food insecurity were needed than were available. Better forms of governance can only be developed if there is a better understanding of current food security strategies.

Candel (2018) also conducted a diagnosis of integrated food security strategies in South Africa using three perspectives, namely descriptive, explanatory and evaluatory. The descriptive perspective was concerned with evaluating the integrated food security strategy and focused on the policy integration perspective. The explanatory perspective was concerned with the identification of variety and change and focused on aspects that explain integration. Evaluatory diagnostics focused on the evaluation of policy failures and successes. Candel (2018) concluded that despite many claims, not much was known about food security programmes and outcomes in South Africa.

This study is one of a handful that use multiple perspectives in explaining food security strategies and that, consciously or otherwise, take into consideration the complexities associated with multiple conceptualisations of food security and policy analysis in literature. Multiple theoretical lenses are likely to give a better perspective on the phenomena of interest. The implementation of food security strategies faces structural and organisational challenges. Drimie and Ruysenaar (2010) conducted an institutional analysis of South Africa's integrated food security strategy. The study used qualitative methods and document analysis and found that structural and organisational challenges contributed to the failure of the strategy. Drimie and Ruysenaar (2010) concluded that their study highlighted the importance of institutional arrangements in addressing food security that required an integrated response from multiple stakeholders. There is thus a need to modify the institutional architecture if food security challenges are to be addressed.

Attention also needs to be given to how policy implementers come to interpret and understand their practice as this has the potential to enhance or impede policy implementation objectives and outcomes. The achievement of policy objectives depends on the extent to which these policies are implemented. It is clear from literature that appropriate policies are central to

achieving developmental goals. A suitable policy implementation environment is also necessary. In the absence of favorable policy environments, even the best of projects or programmes will fail (World Bank, 2000). In addition to a favorable policy environment, the success of a policy or a programme depends on the extent to which it is institutionalized (Tolbert & Zucker, 1983).

Institutionalization is seen as the extent to which rules or behaviors are unquestioned (Zucker, 1987). Once institutionalized, structures are accepted as being necessary and important. This contributes to the legitimacy of the organisation (Tolbert & Zucker, 1983). The reluctance in questioning rules or behavior is a sign that they are part of the culture of the organisation and thus represent how things are done. Organisational culture is about “how organisations do things”. This study determines the impact of organisational culture on the implementation of food security programmes in the OR Tambo District. It is also important to understand the effectiveness of current food security policies within that context.

There is a growing recognition among scholars that current food security policies are not effective in addressing the current food security challenges (Candel, 2014; Driemie & Ruysenaar, 2010). Poor coordination (at local, provincial, and national levels), the lack of a structured approach and inappropriate institutional arrangements have contributed to the limited success of food security efforts (Driemie & Ruysenaar, 2010). All these failures require that government pursues integrated strategies, to achieve better policy outcomes (Candel 2017). South Africa is one of the first countries worldwide to recognize the need for an integrated food security policy. There is a growing recognition that fragmented and poorly coordinated efforts are unlikely to be effective in the implementation of public policy (Rayner & Howlet, 2009). Furthermore, there is recognition that food security challenges require a multi-disciplinary, multi-sectoral, and boundary-spanning approach and that the complexities associated with food security need to be treated as a system. This will be a daunting task, especially given the diverse stakeholder needs, and policy implementation contexts.

Generally speaking, food security is not treated as a system, but scholars are increasingly calling for food security to be addressed holistically. The term “food security system” has been coined, and its use is gaining momentum. The term food security system highlights the increasing recognition of the need to have a much broader perspective in addressing food security challenges. Further, a responsive policy is necessary for the creation of various structures essential to support policy implementation. Such a policy should take cognizance of the roles to be played by multiple stakeholders, should be relevant to the needs to be addressed, and the structures the implementation process required. The extent to which the policy integrates various stakeholders and processes, may contribute to its successful implementation.

Candel and Pereira (2017) propose five main areas that are essential in the development of an integrated food policy. These include: a policy structure that stimulates interest (among stakeholders including politicians); the formulation of appropriate policy goals; the involvement of relevant stakeholders at different levels; determining optimal levels of policy integration, as well as a compatible blend of policy instruments.

It should be recognised that policies are implemented within existing embedded structures, paradigms, practices, institutions, and relationships, all of which will impact on policy efforts. New policies, including integrated policies and strategies, are faced with the issue of “embeddedness”, i.e., they have to replace existing policy goals and objectives to improve policy outcomes (Rayner & Howlett, 2009). Replacement of policy goals and objectives may result in incoherence. Reducing policy incoherence and achieving synergies can contribute to achieving policy outcomes (Van Oostena, Uzamukundab and Runhaarc, 2018,). Within this context, food security policies should be coherent in order to enhance the realisation of their intended outcomes. Given that food security is impacted negatively by many factors, policymakers should consider these factors in policy development and implementation.

## 2.8 Factors having a negative impact on food security

Because food security is affected by environmental, economic, and social aspects, any effort to address food security challenges requires the three to be taken into consideration. Climate change, which is an environmental issue, for instance, can negatively impact on food security due to its impact on precipitation and the rise in temperatures that it triggers. The risk of climate change for agriculture and food systems is that it could result in decreased local and global agricultural production, which will lead to price increases and volatility, increased risks of conflict linked to resources, and reduced food security (FAO, 2018).

The changing climate will affect food security unless early warning systems are developed to enable timely responses. Rising temperatures, decreased rainfall, and the associated decrease in agricultural productivity will negatively impact on food security, due to decreased crop yields and more pests (Faber *et al.*, 2011).

Adequate mechanisms will be needed to address the issues of vulnerabilities imposed by climate change on agro-ecological systems. For households producing food for consumption and selling excess food, a decrease in food production due to climate change may result in food insecurity and economic loss that would result if they had no surplus food to sell (Brown & Funk, 2008). Other related climate factors such as floods and hail will also impact negatively on food security as they may destroy crops and animals and negatively impact on the economic status of those affected. The state of the economy affects the prices of agricultural inputs, machinery and equipment, fuel and labour, all of which contribute to an increase in the cost of agricultural production and resultant food prices. This further highlights the need to consider economic factors in addressing food security. In addition, social aspects have an impact on the realisation of food security. For instance, conflict is a social issue which impacts negatively on food security. Brück, d'Errico and Pietrelli (2019) call the positive correlation between conflict and food insecurity "startling." The impact of conflict on food security may be due to several factors such as displacements or even stock loss. South Africa is relatively stable socially, but some parts of the continent such as Sudan and Somalia, are experiencing social instability, which is likely to impact food security negatively if that has not already happened.

Brück *et al.* (2019) point to conflict resulting in decreased food availability and consumption. Decreased food availability and consumption may be due to an increase in prices, the decline in food stocks, a decrease in disposable income, and violence aimed at food producers as well as purchasers. In addition, conflict may result in destruction of the infrastructure necessary to support agricultural production, markets, and transportation. The above discussion sets the basis for the consideration of environmental, economic, and social aspects in addressing food security. Any meaningful effort to address food security should pay attention to environmental, economic, and social issues. Literature shows that countries differ in terms of climate change vulnerability. Sub-Saharan Africa and South Asia are more vulnerable as they are the world's most food-insecure regions. Climate vulnerability is higher in countries that are already food insecure (Richardson *et al.*, 2018, Lobell *et al.*, 2008).

Given that food security is driven by several factors, including purchasing power, an increase in employment does address food insecurity as it enables households to have the economic means for accessing food. In the South African context, grants of various kinds continue to make meaningful contributions to improving food security as they give households the ability to purchase food (Altman, Hart & Jacobs, 2009). The relationship between employment, grants and food security highlights the complex nature of food security. The complex nature of food security is an indication that the involvement of government departments, the private sector, and community-based organisations in addressing food security challenges is of the utmost importance. A holistic approach to addressing food insecurity, requiring stakeholders at all levels, is needed. The government being the main player in food security should continue to play a meaningful role in the coordination of food security programmes and should decide when to lead from the front or the back. Effective coordination mechanisms will be of the essence if food security objectives are to be realised. The realisation of food security objectives depends on the development of appropriate policies and the effective implementation of the policies. Mubangizi (2013) asserts that food insecurity is driven by inappropriate policies and strategies and poor implementation. South Africa has a plethora of good policies. Despite the development of good policies, the main challenge is implementation, specifically how to ensure the realisation of policy outcomes and thus ensure food availability, access, and stability over time. Food security programmes have not yet made a significant impact.

Limited policy impact is made evident by the fact that only about 80% of the national population has adequate food access, with the remaining 20% experiencing severe inadequate food access (5%) or inadequate food access (15%). For the Eastern Cape, only about 75% of the households have adequate food access, with the remaining 25% experiencing either severe food access inadequacy (4.1%) or food access inadequacy (21%) (Statistics South Africa, 2018). The above indicates that the province of the Eastern Cape is experiencing food access adequacy that is 5% less than the national average. Food adequacy per province also varies. There is no available information on food adequacy for the OR Tambo District. Varying levels of food adequacy may be attributed to several aspects, including policy implementation and its associated implementation contexts and arrangements. As early as 2009, it was observed that the OR Tambo District had been experiencing some form of food insecurity (Aliber, 2009). Very little is known about food security policy implementation in the OR Tambo District.

## 2.9. Policy implementation

Policy implementation is often ignored as a result of the assumption that the development of a policy will automatically lead to its implementation. This assumption is as invalid in the developing nations as it is in the developed countries (Smith, 1973). Governments often develop good policies, but despite this, most policies fail to achieve the desired outcomes (McConnell, 2014). One of the major contributing factors to policy failure is implementation. As expected, due to failure by practitioners and scholars to solve the implementation problem, the big challenge of converting policy intent into meaningful outcomes by practitioners remains a daunting task (O'Toole, 2000). As a result, both scholars and practitioners are still confounded by the issue of policy implementation. Successful policy implementation is essential for the realisation of policy objectives. Howlett *et al.* (2015) indicate that some of the main policy implementation failures are caused by problems such as funding constraints, principal-agency issues, legitimacy problems, and oversight failures.

A review of the literature on food security and food security governance, reveals that very little attention has been paid to understanding the implementation process. Further, there is no universally accepted theory of policy implementation, thus making it difficult to predict implementation outcomes with any certainty. A number of studies have investigated the policy implementation process, their main limitation being the use of case studies and thus limiting the extent to which those studies can be generalized (Wikfeldt, 2016; Hammersley & Gomm, 2009).

The research on which this thesis is based, sought to better understand good governance in the implementation of food security programmes by the DRDAR, local municipalities and the Department of Social Development, in order to provide recommendations for improvements that could be made. Very little information is available on the policy implementation process in the field of food security. Literature also pays very little attention to the role played by policy implementers i.e., street-level professionals or the policy implementation contexts in which food security programmes are introduced.

The street-level professional plays an essential role in the implementation of public policy. It is thus of the utmost importance to understand how these professionals come to understand their practice in implementing public policy as this has a bearing on policy outcomes (Arnold, 2015). Street-level professionals play a critical role in policy implementation as they interact with the public frequently by providing services to citizens. Further, they exercise discretion while discharging their responsibilities. Programmes that are seen as having the potential to deliver value to citizens are more likely to be implemented (Tummers & Bekkers, 2014).

Steijn, Tummers and Bekkers (2010) studied the influence of policy content, implementation context, and the personal characteristics of street-level professionals, on their willingness to implement public policy. The study found the content of public policy to have more effect on the willingness of street-level professionals to implement policy. The implementation context and personality characteristics of the implementers were also found to have an impact on their willingness to implement policy. Unwillingness by street-level professionals to implement policy may, among other things, reduce policy effectiveness (Steijn, 2010). These factors may explain differences in policy outcomes in different contexts as it shed some light on why some policies may be implemented well, while others may not.

The actions of street-level professionals may produce outcomes that differ from the original policy goals (Gofen, 2013). The difference between the outcomes and the policy objectives, may be attributed to policy ambiguity, as well as to the exercise of discretion by street-level professionals in executing their job roles.

Lipsky (1969) observed that political science focuses on the variables impacting on government performance while disregarding the place where the delivery of services takes place. Attention was thus put into trying to understand how officials who interact directly with the public, referred to as street-level professionals, impact on policy outcomes. There is consensus among scholars that street-level professionals have a significant effect on policy implementation. Lipsky (1969) made the first attempt to develop a theory of street-level professionals and defined them as those officials who interact daily with the public in the execution of their responsibilities; have some discretion in the execution of their responsibilities, and have a meaningful impact on the lives of their clients.

According to Lipsky (1969), street-level professionals may be affected by three main factors:

- limited personal resources - including a reasonable amount of time to make and act upon decisions, a lack of access to information and the resources necessary to enable the collection and processing of relevant information;
- limited organisational resources – including the manpower/client ratio necessary to ensure that job roles are fulfilled with as little stress as possible and in line with the expectations of service provision;
- the potential for physical or psychological harm, as well as the presence of ambiguity and contradictory and unachievable work roles.

All these factors present challenges to street-level professionals who may then develop a number of strategies and mechanisms in trying to cope with job demands.

Further, street-level professionals face challenges since they have an influence on, but no control over the behavior of their clients. Yet there are high expectations for professionals to perform their roles as expected of them to achieve expected outcomes. It is the inability to cope with job demands that results in the development of coping mechanisms and strategies ways to deliver on the expectations of their job requirements. Some of these mechanisms and strategies may include improvising ways of executing responsibilities that may not necessarily be in line with policy objectives. Literature indicates that policy goals and objectives may be ambiguous, contradictory, and thus make it difficult to achieve work roles (Matland, 1995). Ambiguity and contradictions may result in outcomes different to those specified in the policy. Given contradictory outcomes, in coping with the situation, professionals may choose to pursue some outcomes over others (Lipsky, 1969).

Lipsky (1969) identifies mechanisms and strategies that street-level professionals use to cope with ambiguous and contradictory goals, as well as job roles that are difficult to achieve. These mechanisms and strategies for coping are simplifications, developing routines, changing role expectations, and changing the definitions of clientele. Simplifications are symbolic constructs developed in the mind of individuals to make the environment manageable. These are meant to achieve efficiency and reduce anxiety. Routines are habits, or regularised patterns, in the execution of job roles. These routines allow street-level professionals to cope with their day-to-day activities. Changing roles involves street-level professionals persuading those responsible for defining their job roles to include exceptional performance. The exceptional performance would also include difficulties encountered in rendering service to clients. Changing definitions involves “segmenting the population to be served.” The professionals use some form of criteria to decide on the clientele to be served. Further, they may justify failure to achieve policy objectives on the behavior of some clientele. Following sterling work by Lipsky (1969), a significant amount of scholarly work was developed that shed light on the role of street-level professionals in the implementation of public policy. There is consensus in the literature that street-level professionals exercise discretion in the execution of their job roles (Boshkoska, 2015; Tummers & Bekkers, 2014; Matland, 1995). The issue of the discretion exercised by street-level professionals in the implementation of public policy is highlighted by agency theory. The main thrust of agency theory is the relationship between the agent and the principal. In this context, the street-level professionals are agents who act on behalf of the principals in the execution of public policy. These agents may not always act in the interest of their principals. Street-level professionals may promote self-interest instead of those of the principal, and thus trigger agency conflict (Eisenhardt, 1989). In trying to minimize agency conflict, the principal may put mechanisms in place. Such mechanisms may involve the introduction of incentives, monitoring, and accountability mechanisms, which are part of administrative oversight.

Brodkin (2008) indicates that administrative oversight and control should allow for the exercise of accountability mechanisms to manage the discretion of street-level professionals and should be done in a way that does not impact negatively on responsiveness and professional judgment by street-level professionals in the execution of public policy. Literature indicates that for some of these professionals, there may be the potential for physical or psychological harm in the execution of job roles. The potential for physical or psychological harm is yet to be understood in the context of governance and public policy implementation of food security programmes, as there is little information available. Most scholarly work on

street-level professionals was conducted to shed light on how police, teachers, and lower-level judges cope with job requirements.

Little is known about how street-level professionals cope with job roles in the context of good governance and policy implementation relating to food security. This study attempts to shed light on how street-level professionals cope with day-to-day challenges in the context of the implementation of food security programmes in the OR Tambo District.

The role played by street-level professionals in food security governance has not received much attention in the South African context, and how they come to understand practice and behavior is important and often overlooked in implementation studies. Their understanding of the implementation process is, according to Spillane, Reiser and Reimer (2002), called cognition. Cognition alters behavior and practice and thus has a major influence on the implementation and realisation of public policy objectives.

The street-level professionals do have some degree of autonomy and thus exercise some discretion in the implementation of public policy (Tummers & Bekkers, 2014). This discretion may have a major influence on policy outcomes. It is not clear how discretion can contribute to improved food security governance in the South African context.

Literature indicates that the implementation context and personal characteristics do influence decisions and policy implementation by street-level professionals and that these factors may impact on policy implementation and outcomes (Tummers & Bekkers 2014).

The literature review indicates that while there is abundant literature on policy development and analysis, research rarely focuses on policy implementation. It is not clear why so little attention has been paid to the policy implementation process, especially given that the implementation may, in fact, undermine policy intent (Brady, Duffy, Hazelkorn & Bucholz, 2014).

There is a lack of consensus on what policy implementation is. Newig and Koontz (2014), for instance, indicate that policy implementation is about how and to what extent a public policy is applied, alters behavior, and achieves stated goals once the policy is approved. According to Sabatier and Mazmanian, (1980), policy implementation is a process of executing policy decisions. Khan (2016) defines policy implementation as a process of translating policy goals and objectives into action. O'Toole (2000) states that policy implementation is what happens from the time government executes its intention and the resulting impact. Van Meter and Van Horn (1975) define policy implementation as a collective combination of actions aimed at the pursuit of objectives by public or private individuals as a result of policy decisions. Majone and Wildavsky (1973, p. 179) state that policy implementation is about "*forging a causal chain from objectives to results*". The definitions above indicate that implementation is about some actions in pursuit of some goals or objectives. These definitions indicate different conceptualisations of the concept of policy implementation. Different conceptualisations may be one of the factors constraining the development of a universally accepted theory of policy implementation.

Policy implementation is crucial to the realisation of policy objectives, but it faces enormous challenges. Despite its importance, very little attention has been given to the implementation process, especially in relation to food security governance. Some form of framework is however, necessary to provide structure and guide the implementation of public policy.

Sabatier and Mazmanian (1980) indicate that implementing a policy decision requires three aspects, namely the problem to be solved, the objectives to be pursued by the policy, and the policy implementation process. Sabatier and Mazmanian (1980) further state that there is a need to identify factors that can affect the achievement of policy objectives throughout the whole process of policy implementation. These factors are the tractability of the problem being solved by the policy, the ability of the policy to structure implementation, and the ability of political variables to support policy objectives.

Policy implementation's premise is the agency theory and the rational choice theory in which the agent executes decisions on behalf of the principal. Rational choice theory assumes that the agent will always make rational decisions based on the maximization of benefits (Spillane *et al.*, 2002).

Policy implementation is faced with some challenges, the major being that there is a lack of valid theory that can predict policy implementation outcomes (Sabatier & Mazmanian, 1980).

Khan (2016) points out that there is no grand theory of policy implementation, given that the theory is “still in its infancy” and concludes that there is consensus among scholars that the field of policy implementation is devoid of any valid, viable, and fully-fledged or grand theory with universal acceptance. It is difficult to understand why there is still no universally accepted theory of policy implementation, given that it has been studied for over five decades. In addition to a lack of a valid implementation theory, other challenges to implementation include the abstract nature of policy itself, the fact that policies evolve as they are implemented, and that implementers have the discretion to influence policy. Majone and Wildavsky (1973, p. 190) state that

*Policy ideas in the abstract are subject to an infinite variety of contingencies, and they contain worlds of possible practical applications. What is in us depends on what is in them, and vice versa. They have no resting points, no final realisation; they are endlessly evolving (Majone and Wildavsky, 1973, p. 190).*

The abstract nature of policy and the fact that policy is exposed to various contingencies exposes it to many interpretations and thus diverse implementation strategies. Further, the infinite nature of contingencies, as well as the possible practical applications attached to policy ideas, may also result in many interpretations of the policy with a resultant impact on implementation. The quote above indicates that the implementer is as much part of the implementation as the policy content itself. This relationship between the implementer and the implementation of the policy, highlights the importance of cognition in policy implementation and analysis.

How policymakers and implementers come to understand their practice is thus put into sharp focus. A review of food security literature points to the realisation that some emphasis, even though very limited, is placed on the process of implementation, while neglecting the role played by the implementer as an enabler or hindrance to policy implementation. This thesis draws attention to the neglect of the implementer in food security governance literature and aims to shed some light on this aspect.

There is an abundance of studies on policy development and analysis, yet very little information is available on policy implementation. Such information would guide and structure the implementation process. To address this gap, some scholars developed frameworks, approaches, and models to contribute to a better understanding, as well as to structure the implementation process. A discussion of policy implementation frameworks, models, and approaches follows.

Spillane *et al.* (2002) developed a cognitive framework that would help to explain how policy implementers come to understand their practice and thus change beliefs and attitudes during the implementation process. This process of “sense-making” by implementing agents is called cognition. Spillane *et al.* (2002), indicate that a “cognitive framework” is, broadly speaking, about how information is processed, together with the associated complexities and influences that are part of information processing of complex ideas, the effect of motivation and affect, as well as how social contexts and social interactions impact on sense-making. Even though the cognitive framework was used to understand how educators come to better understand their practice in American schools, it can be applied to other sectors. It may provide an opportunity for improving policy implementation. Given the diversity of policy implementation contexts and implementers, consideration needs to be given to the context in which policies are implemented, because the policy implementation environment may differ in terms of cultural and other influences.

Sabatier and Mazmanian (1980) developed a framework to guide the policy implementation process. Unlike most others, their framework provides variables that can be evaluated during the process of policy analysis and also identifies dependent variables at each stage of the policy implementation process. It is comprehensive and captures the dynamic nature of the implementation process by recognizing the political and socio-economic variables that shape the implementation process.

Matland (1995) developed the ambiguity-conflict model to guide policy implementation. He views policy implementation choices as being influenced and guided by the relationship between policy ambiguity and conflict. Policy ambiguity allows for the acceptance of policy by stakeholders with differing agendas. Policy ambiguity can be a result of goals, or the means for achieving policy goals. According to this view, policy clarity may result in some stakeholders protecting their turf by rejecting the policy. While policy ambiguity may be necessary for getting consensus about the policy, it also comes with the advantage of resulting in the achievement of a range of outcomes. To minimize the number of outcomes to just one, the constraining of the policy idea would be necessary.

A major drawback to this would be decreased impact (Majone & Wildavsky, 1973). Policy conflict, on the other hand, can occur over policy goals or the means for achieving policy goals. The ambiguity-conflict model presents four perspectives necessary to guide policy implementation choices. These perspectives are low ambiguity-low conflict, low ambiguity-

high conflict, high ambiguity-low conflict, and high ambiguity-high conflict. A brief discussion of each perspective follows.

**i) Low ambiguity-low conflict**

In this perspective, the policy goals are clear and the technology to be used in the implementation of the policy is known. Information flows from the top, down the implementation hierarchy. All actors and their roles at each stage of the hierarchy are known. Low ambiguity and low conflict is conducive to rational decision-making. Policy implementation in this perspective resembles the bureaucratic approach to administration. Policy failure in this perspective can be caused by failure in technology, information distortion as information is cascaded down the implementation hierarchy, poor coordination, inadequate resources, ineffective monitoring, and control mechanisms and a limited time span for using the right technology. Since resources are available, the implementation of policy is by administrative means. In this perspective, the availability of resources determines the success of policy implementation.

**ii) Low ambiguity-high conflict**

In this perspective, policy goals are clear but may be incompatible with one another, resulting in conflict. Conflict may also arise from the means for achieving policy goals. It is common for conflict to develop in this stage of policy design (Matland, 1995). In this perspective, power determines policy implementation outcomes. Powerful actors will impose their will or may even bargain with other actors to reach some agreement. Unlike the administrative implementation, policy implementation in this perspective is based on where power lies, hence implementation in this perspective is referred to as political implementation. While there is policy clarity, the major challenge is that even though resources are available, they are controlled by actors who may not support the proposed policy. Successful policy implementation will depend on the extent to which actors can enforce their will or can bargain to achieve consensus for policy support.

**iii) High ambiguity-low conflict**

The success of policy implementation depends on actors and the availability of resources. In this perspective, there is a lack of policy clarity and technology. Given that there is low conflict, a great opportunity exists for several actors to participate. Decision-making is thus characterised by the diversity of actors, solutions, problems, and choices, all combined in pursuit of the desired outcomes, which will be diverse. In this perspective, policy implementation is based on “experimental implementation.” Contextual conditions determine the policy implementation outcomes. Given that contextual conditions vary across different sites, implementation outcomes will also vary.

**iv) High ambiguity-high conflict**

Policy implementation in this perspective is through “symbolic implementation.” Even though it is unexpected that policy with a high level of ambiguity can result in conflict, it can occur. In most instances, a high level of ambiguity would generally result in low levels of conflict. Salient elements in policy are triggers for conflict. The strength of local coalitions determines policy implementation outcomes. Local actors who have control over important resources, determine policy outcomes (Matland, 1995). Due to the high level of policy ambiguity, there are diverse interpretations of the correct vision. Contextual factors at local level determine coalition strength.

The ambiguity-conflict model does provide practical options to scholars and practitioners about the implementation methodologies to be employed in different contexts. What stands out about this perspective, is its ability to guide policy implementation strategies under different contexts. There appear to be no other policy implementation models, frameworks, or approaches that give policy implementation choices in different contexts. There is the potential for scholars to expand the model to include other aspects as far as context is concerned; for example, the model conceptualises the policy implementation context as related only to the level of conflict, power, and resources.

Smith (1973) developed a model of policy implementation comprising four elements, namely idealised policy, implementing organisation, target group, and environmental factors. Smith (1973) viewed policy implementation as a tension-generating force in society. This tension, according to him, is generated by transactional patterns, which may act for or against expected policy outcomes. These transactional patterns may get engraved into institutions, after which both transactional patterns and institutions may trigger tensions as a result of the feedback given to the policymakers and implementers.

The resulting tension may cause either support for, or rejection of the further implementation of the policy. Smith is of the view that the utilisation of this model will result in a reduction of tensions and facilitate policy implementation, as a result of good synergy between policy expectations and outcomes.

Given the importance of implementing agents in the achievement of policy objectives, attention needs to be given to how agents understand their practice and how that affects policy implementation. In particular, consideration should be given to three main aspects that affect

sense-making by implementers, all of which have the potential to influence policy implementation, namely the individual, the social context, and policy signals. Emotions, values, beliefs, norms affect how agents view, process, and interpret policy. “Sense-making” by individuals depends on prior knowledge, beliefs, experiences, and values. The social context is another important aspect of policy implementation. Social context includes beliefs, emotions and practices of communities in which policies are implemented. Social context affects sense-making by implementing agents. The policy signal is another aspect affecting sense-making. The extent to which policy signals are interpreted favorably, depends on the extent to which policy messages are clear and consistent (Spillane *et al.*, 2002). Scholars of policy implementation come from different approaches. A brief description of these approaches follows.

### **Policy implementation approaches**

This literature review indicates that there are three main paradigms held by policy scholars. These are the top-down approach, the bottom-up approach, and the synthesis approach. Only these three dominant paradigms will be discussed. The top-down approach is influenced by the bureaucratic approach and views implementation as solely determined by the policy developers; the bottom-up approach views the implementation as being, in effect, carried out by the policy implementers, i.e., the street-level professionals. Lastly, the synthesis approach views effective policy implementation as a combination of both the bottom-up and top-down approaches.

#### **i) Top-down approach**

The top-down approach views policy implementation as beginning at the top of the implementation process and including a clear stating of the policy intent, followed by a series of steps, each specifying what should be achieved by implementers down the implementation hierarchy (Elmore, 1979). Further, it places policy developers at the center and thus focuses on factors that can be manipulated to achieve policy implementation objectives. This approach is suitable when policy goals and objectives are clear and the policy is comprehensive (Russell: 2015; Matland, 1995), and implies that the choice of an implementation approach may be context-dependent. It may thus be necessary to select the most appropriate implementation model for a given context. The top-down approach is prescriptive (Matland, 1995). The proponents of the top-down approach include Sabatier and Mazmanian (1989) who view implementation as the execution of policy decisions, coming from executives, and courts. De Groff and Cargo (2009) view the top-down approach as being based on bureaucratic managerial principles inclusive of control, coercion, and compliance in pursuit of policy

objectives. The top-down approach has been criticized for ignoring the influence of politics on administration, emphasising goal clarity, and placing policy developers at the center of implementation. According to Matland (1995), it is impossible to separate politics from administration and that most policy goals are by design, ambiguous. This ambiguity of policy goals is a source of consensus or contention among policymakers and stakeholders. This is because the clarity of policy goals may make stakeholders perceive the threats that the policy is bringing, and they may thus protect their turf (Matland, 1995).

The placement of policy developers at the center of implementation has been criticised for excluding the contribution of policy implementers to policy development, and thus missing out on the implementers' expertise and knowledge in improving the policy Signé (2017). The top-down approach views local actors as impediments to successful policy implementation and maintains that the behavior of local implementers should be controlled.

**ii) Bottom-up approach**

The bottom-up approach to policy implementation begins by asking how the policy outcome can be aligned with the policy intent statement (Elmore, 1979). Further, it focuses mainly on the importance of street-level professionals in policy implementation. Proponents of the bottom-up approach view policy adaptation at the local level as key to achieving policy outcomes. This approach is used mainly when there is uncertainty about the policy (Matland, 1995). This approach views implementation as being more inter-active, recognises the importance of client involvement and sees the client as important and a co-producer of policy outcomes (O'Toole, 2000). De Groff and Cargo (2009) view the effectiveness of policy implementation as being dependent on the extent of the involvement of policy implementers from the earlier stages of policy development and throughout the whole policy cycle, inclusive of implementation. This approach is suitable where there is a lack of policy clarity (Russell, 2015).

The bottom-up approach views policy from the perspective of target groups and implementers. According to those who favor the bottom-up approach to policy implementation, the success of the policy implementation is only possible if it has been adapted to suit local contexts, by local implementers (Matland, 1995). They argue that, for implementation to be fully understood, the activities, strategies, goals, and contacts of policy implementers should be understood first. Weatherley and Lipsky (1977) indicate that policy meaning is only grasped once it has been put into practice by street-level bureaucrats.

### **iii) Synthesis approach**

The synthesis approach combines the top-down and bottom-up approaches to policy implementation. The proponents of this approach include De Groff and Cargo (2009) and Matland (1995). The approach utilises the strengths of both the top-down and bottom-up approaches. In addition, it utilises both backward and forward mapping mechanisms (Russell, 2015). The choice of either backward or forward mapping, influences the findings, the implementation process and policy outcomes. Forward mapping emphasises central control and is thus subjected to manipulation by policymakers. Forward mapping includes formal organisational structures, authority between administrative units, regulations, funding formulas and administrative controls (planning, budget, and evaluation requirement).

Backward mapping, on the other hand, puts the emphasis on the decentralisation of control and focuses on factors that are not under the direct control of policymakers, inclusive of knowledge, providing solutions to problems at lower levels of administration, the incentive structure's influence on policy beneficiaries, bargaining among political actors at different levels of the implementation process, and the strategic use of financial resources (Elmore, 1979). Given the strengths of the bottom-up and top-down approaches, the utilisation of the two may help analysts to understand the problems associated with policy implementation better.

The discussion of frameworks, models and approaches above, provides an understanding of the various approaches or methodologies used to study the policy implementation process. It is evident that the methodologies used by different scholars to study implementation, differ greatly in terms of variables and the concepts used. The use of different variables and concepts is a product of different conceptualisations, as informed by different schools of thought. This makes it difficult to make a comparison between studies and thus limits the extent to which implementation research knowledge can be applied to other studies. The top-down model, which is based on the bureaucratic conceptualisation appears to be the most dominant approach in the literature, even though there is a growing appreciation and use of the bottom-up approach in the implementation process. The use of the synthesis approach, a combination of both the top-down and bottom-up approaches, is seen as a more suitable approach by scholars such as De Groff and Cargo (2009), Matland (1995) and Elmore (1979). Policy implementation is influenced by context-specific factors. It is thus essential to have an understanding of those factors within a particular context, given their potential to impact negatively on the implementation process and subsequent policy outcomes. Knowledge of

context-specific factors will inform the choice of approaches likely to have the best prospects of success. In an earlier discussion in this thesis, factors that impact negatively on food security were discussed. Attention needs to be paid to these factors if food security challenges are to be overcome.

Food security challenges and contexts are unique and may not necessarily be solved through the adoption of approaches that were successful elsewhere. Schouten, Vink & Vellema (2018) indicate that the development of context-specific solutions to food security governance challenges is important, if food insecurity is to be overcome. Given the complexities of food insecurity and the uniqueness of institutional contexts under which policies are implemented, attention should be given to the institutional architecture, coordination, and use of multiple perspectives in the conceptualisation of food security and governance. This is fundamental to the development of solutions based on the understanding of local contexts and recognises the complexities associated with addressing food security governance. Understanding how policy implementers perceive and interpret their practice, may also add value to good governance in the implementation of food security programmes.

This chapter reviewed the literature on food security, governance, and policy implementation. In concluding this chapter, the study objectives must be contextualized within the current strategies relating to governance, food security, and policy implementation of the Eastern Cape provincial government. The following brief discussion contextualises the study.

i) Organisational performance and food security implementation

Provincial government (inclusive of the DRDAR, local government, and the Department of Social Development) provides inputs and farm-related infrastructure as well as land preparation for agricultural production services at highly subsidised rates to Small, Medium and Micro-Enterprises (SMMEs), as well as to subsistence farming communities. The DRDAR also provides extension and advisory services to further improve agricultural productivity for enhanced rural local livelihoods. Enhanced agrarian productivity impacts positively on food security. An extension worker is allocated several wards to provide extension and advisory services. While it is known that organisational performance (effectiveness, efficiency, and responsiveness), accountability and approach to governance have an impact on programme outcome, it is not clear how it affects food security implementation, as the literature is silent on this. This study attempts to fill the gap.

- ii) Coordination, planning, monitoring and evaluation in the implementation of food security programmes

The provincial government (inclusive of DRDAR, the Department of Social Department and local government) plays a crucial role in the coordination, planning, monitoring, and evaluation of the implementation of food security programmes. While it is known that the provincial government carries out all the above activities in the implementation of its programmes, it is not clear how this is being achieved. This study aims to fill the gap while at the same time, contributing to how policy implementation can be improved.

- iii) Organisational culture and policy implementation

The literature points out that organisational culture determines the types of organisations, organisational structures, and processes (Berthod, 2016). It is known that organisations are driven by organisational culture as organisational culture is about “how things are done here.” In 2012, the Eastern Cape provincial government implemented a culture change programme in which all the departments under its administration selected 30 change agents per department, to facilitate culture change in the public sector. These change agents received practical training in culture change for 12 months. Constraints within the DRDAR resulted in the programme coming to a halt in 2014 but there is currently an effort to restart it. The impact of the culture change programme on how the DRDAR implements food security programmes, is not known, as there is very little information available about it. It is essential to point out though, that the culture change programme was not focused on food security implementation, but on the DRDAR as a whole. Literature is also silent on how organisational culture affects the implementation of food security programmes in rural areas. This study aims to fill the gap. In addition to organisational culture, policy implementation is also influenced by the contexts in which the policies are implemented.

- iv) Local contexts and policy implementation

Policy implementation is done within a variety of contexts. Steijn *et al.* (2010) found that policy implementation contexts do impact on policy implementation. Literature is silent on how the implementation context affects the implementation of food security programmes in rural areas. This study aims to fill the gap.

## 2.10 Food security governance

This thesis has so far discussed various aspects entrenched in food security as well as food security implementation and governance. This section will discuss food security governance in some detail.

Food security governance occurs internationally in countries, districts, sub-districts, and regions. At the international level, the FAO of the United Nations develops various policies and supports governments in efforts toward eradicating hunger. Food security governance must be effective at all levels if hunger is to be addressed. Von Braun (2009) points out the deficiencies of food security governance at the global level. The author highlights the inappropriate response to a global increase in food prices in 2008, low investment in food security, decreased agricultural productivity, poor response to climate change, and the energy crises. Von Braun (2009) sees the development of global governance architecture as fundamental to realising food security. Fakhri (2015) raises how current free trade laws and policies can ensure efficient food production and distribution; and the impact that this would have on price reduction. The realised benefits would make food more accessible to vulnerable groups. In contrast, Fakri raises valid points that power relations within the global arena favour more significant economies. The smaller economies almost have no voice on the bigger scale and are at the mercy of bigger economies.

Margulis and Duncan (2016) sum up global food security governance as institutions, norms, rules, actors, and power relations that determine the nature of food production, distribution, and access across geographic boundaries. These authors conclude that the above definition denotes flexibility due to countless economic, social, environmental and ecological factors impacting food security at individual, community and national food security. The above underscores the myriad considerations placed on policymakers and food security practitioners. This is precisely because of the uniqueness of institutions, rules, power relations and economic, social, environmental, and ecological challenges. This points to the reality of the "no one size fits all" approach to food security governance.

The Constitution of the Republic is the basis for all food security-related initiatives, including governance within South Africa. Constitution of RSA Section 27 states- *"Everyone has the right to have access to sufficient food. The state must take reasonable legislative and other measures to achieve these rights"*. As per the Constitution, food access is a right, with the state being at the centre through legislative instruments and other measures. Food access is linked to economic means to access food. This demonstrates the dependency of food security on production, employment, and social security initiatives. The above discussion underscores the

reality that food security governance is much bigger than merely food production. Own food production and reliance on the same should be the primary goal of effective food security governance. Own food production will shield individuals and households against rising food prices.

In response to Sections 27 and 28 of the Constitution of the Republic of South Africa, DALRRD developed the Integrated Food Security Strategy (IFSS) in 2002. The strategy aimed to streamline and thus ensure a better institutional response to food security challenges. Further, it intended to improve the governance, integration, coordination, financial management and administration of food security interventions in all spheres of government. Despite good plans, the impact of the IFSS was minimal. The failure of the IFSS was attributed to poor institutional arrangements, including poor integration and coordination, and a failure to have a holistic approach to addressing food security challenges (Driemie & Ruysenaar, 2010, p. 11).

The IFSS was designed as multi-disciplinary and multi-sectoral inclusive (lead by a minister) of many organs of the state, inclusive of the Department of Water Affairs and Forestry, Health, Social Development, Housing, Local Government and provincial government, Housing, Education, Arts and Culture, Science and Technology, Environmental Affairs and Tourism. Further, the IFSS would have seven programmes being "chaired" and some being "co-chaired". These programmes would all contribute to the IFSS. While the involvement of many state departments is a noble idea, effective coordination would be vital to the success of such an initiative. The effective coordination of such a multi-disciplinary, multi-sectoral group within the South African context is far-fetched. This is precise because of the job demands of the team members outside of food security and the necessary coordination efforts. Lastly, very little is said about the required resources for the realisation of the IFSS, nor are there effective accountability mechanisms to hold the state to account for non-attainment of goals.

Because of the limited success of the IFSS, the Republic of South Africa (RSA) developed the NPFNS in 2013. A commonality of the NPFNS and the IFSS recognise the complexity of the food security challenge and adopt a multi-disciplinary and multi-sectoral approach. The IFSS was more elaborate in this regard. Three reasons for the NPFNS are the need for establishing a common definition for food and nutrition security, establishing a framework for maximisation of synergy necessary for harmonising programmes and strategies for the state and civil society, and lastly, specifying the leadership role of SA within the Southern African Development Community (SADC) (Republic of South Africa, 2013). The NPFNS's "framework" is unclear on how the objective of harmonising programmes and strategies would

be achieved nor specify resources to be availed for the realisation of food and nutrition security. Non specifying of resources is a commonality with its predecessor, the IFSS. A more effective planning and coordination effort on the part of the state would be necessary. This is mainly because, in the South African context, the state remains at the centre of food security. This is despite claims of modern-day governance shifting or having shifted from the state to non-state actors (Weiss, 2000).

Following the constitution of the Republic of South Africa (discussed earlier), provinces develop their policies for governance and implementation of food security programmes. The Province of the Eastern Cape developed the Food Production Policy in 2018 to increase livestock and crop production to ensure food security. The Province has food security as well as commercialisation intent. The basis for the latter is the Eastern Cape Economic Transformation strategy (ECAETS, 2016). ECAETS aims to enhance the economic value derived from agricultural production. This goal would be realised through the government's efforts to foster partnerships between small-scale, communal and commercial farmers. The ECAETS highlights the need for better coordination, monitoring and evaluation, and research among some of its pursuits. Duplication of services has been highlighted as one of the challenges facing agricultural development.

While some scholars such as (Weiss, 2000) argue that governance has shifted from governments being at the centre to none state actors, within the SA context, the state remains the centre of governance, including food security. As a result of decentralisation in governance in SA, corruption has become a significant challenge. This can be minimised through effective accountability mechanisms—the extent to which corruption impacts on food security has not been established. Mubangizi and Tshishonga (2013) found political and community oversight to be the key to strengthening accountability for enhanced service delivery in the South African Local Government Sphere.

Essentially, food security governance is about the development of policies and effective implementation. Food security failures often result from poorly developed policies and implementation (Molnar, 1999). Mubangizi (2013) concludes that inappropriate policies and strategies drive food insecurity. In the South African context, Section 27 of the Constitution is the basis of policies, other legislation for food security governance, and strategies. Despite good policies, strategies, and legislation, the impact of food security programmes is minimal.

Understanding policy implementation context is also vital for the achievement of policy outcomes. Food security literature often overlooks the impact of policy implementation context and its impact thereof. This thesis will fill that gap.

Food security governance primarily draws variables from good governance, governance, and organisational and institutional theories. Food security governance in the South African context faces challenges concerning accountability. Another challenge is the nonalignment of strategies, policies, and legislative guidelines, as well as monitoring and evaluation. Sayeed (2014) observed that reporting was done only as a matter of compliance and that findings of oversight structures were seldom implemented. For food security to be effective, it is pivotal that effective monitoring and evaluation are developed. Further, food security implementation should take the corrective measures recommended by oversight structures. In this regard, the separation of politics and administration is essential as the lack thereof will, in certain instances, result in compromises within the administration. These deficiencies will only favour political advancement and associated self-interest to the detriment of service delivery.

The current forms of food security governance are inadequate to address food insecurity (Candel, 2014; Driemie & Ruysenaar, 2010). This is evident in that food security remains a challenge despite many interventions by state agencies and non-government actors. Further, food stability remains a challenge and is yet to be addressed by current governance strategies. Scholarly literature on food security lack convergence as it proposes different approaches to tackling the challenge of food insecurity. "Better forms" of food security governance keep on being proposed.

Pereira and Ruysenaar (2012) propose "adaptive governance," which will consider food security's complex and multi-dimensional nature. The proposed governance is a move from a state-centred approach to governance and thus includes non-state actors. While the state-centred approach would be more hierarchical and generally top-down, the proposed would have a flatter structure that non-state actors influence. Duit and Galaz (2008) view adaptable governance as a balance between exploration and exploitation. Exploration is characterised by flexibility, discovery, innovation, search, variation, and experimentation. On the other hand, exploitation is evident through words such as execution, implementation, production, choice, refinement, efficiency, production, and selection.

Cash *et al.* (2006) bring to the surface the issue of scales and units, which is attributed to an omission in governance literature. Scales can be temporal, spatial, jurisdictional, institutional, management, networks, and knowledge. Each scale is constituted by individual units (also referred to as levels). Interactions referred to as dynamics can occur within or between different scales and adds to the complexity. Matches are necessary within and between levels in achieving outcomes. Within this context, rules guiding food security should be aligned to temporal, spatial, jurisdictional, management, networks, and knowledge. An understanding

should inform governance and associated decision-making of the complex relationships of scales and units. Such an understanding would thus prevent a mismatch with its negative repercussions. According to Pereira and Ruysenaar (2012), governance that focuses only on the state for food security governance fails to consider the scales and associated units.

The above discussion on food security governance demonstrates that there is yet to be consensus on achieving effective governance. A one size fits all approach to effective food security governance is farfetched. Further, this is confounded by the multiplicity of conceptualisations, paradigms of researchers, and the subjective nature of policy interpretations. This thesis views the contingency and the systems approach as some of the building blocks of effective food security governance. Within this context, the ever-changing policy implementation context requires flexibility in the implementation. The rigid nature and top-down approaches to food security governance cannot provide a lasting solution to the food security challenge.

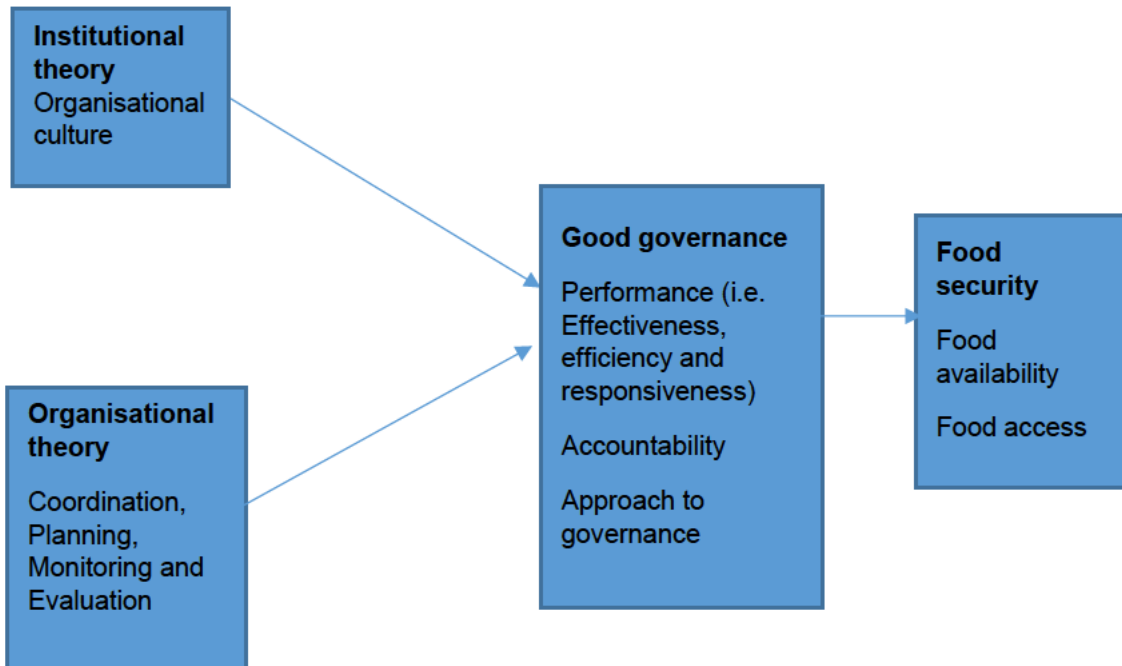
This study will address the following literature gaps:

- The influence of organisational performance (effectiveness, efficiency and responsiveness), accountability and approach to governance on food security implementation in the OR Tambo District Municipality.
- Coordination, planning, monitoring and evaluation in the implementation of food security programmes.
- The influence of organisational culture on the implementation of food security programmes
- Local context's influence on the implementation decisions by implementing agents.

Following a review of the literature, which ends with literature gaps the study aims to address, the study discusses the conceptual framework and concludes with a summary.

### 2.11 Conceptual framework

The study explores good governance in the implementation of food security programmes by using some of the variables of three theories, namely institutional theory, organisational theory and governance theory. For institutional theory, the role of organisational culture in influencing governance is explored; for organisational theory, the influence of organisational elements i.e., coordination, planning, and monitoring and evaluation on governance are explored; for governance theory, the influence of good governance on food security is explored. The relationship between the three theories used in this study, is shown in Figure 5 below. This conceptual framework was synthesised from the literature and was used to enable the study to better explain the role of good governance in the implementation of food security programmes.



**Figure 5:** Conceptual framework for food security governance in the OR Tambo District.

The study attempts to understand how organisational culture, an institutional variable, influences good governance; and investigates how good governance affects food security programme implementation. The good governance variables explored are performance (comprising effectiveness, efficiency, responsiveness), accountability and governance approach. Further, the study assesses how the variables of organisational theory, i.e. coordination, planning, monitoring and evaluation, affect good governance in the implementation of food security programmes.

Variables of the four theories examined are the following:

For institutional theory - organisational culture;

For organisational theory - coordination, planning, monitoring and evaluation;

For governance theory – performance (i.e., effectiveness, efficiency, responsiveness), accountability, and governance approach (centralisation and decentralisation)

Lastly, for food security, two variables, namely access and availability, are assessed as they are more relevant to the research questions.

#### 2.11.1. Institutional theory: Organisational culture

The study aims to determine various aspects of the dominant organisational cultures of the DRDAR, the Department of Social Development, local municipalities, NGOs and the Agri-SETA and how these affect food security governance. Specifically, the focus of this section of the study is on how the leadership in institutions can be characterised, based on the following: i) the involvement of lower-level employees in decision-making, ii) external versus internal focus, iii) flexibility versus rigidity, iv) following procedures, v) the extent to which the organisation is has a family, business or competitive orientation and vi) the extent to which the organisations are learning organisations.

#### 2.11.2. Organisational theory: Coordination, planning and monitoring and evaluation

##### i) Coordination

Gulick (1937) indicates that organisational theory is about the nature of coordination imposed on the work division of the organisational units. Coordination includes unity of purpose, division of labour, the timing of activities, integration of similar, as well as divergent activities, to achieve efficiency, and effectiveness. The study aims to understand how coordination affects the implementation of food security programmes in the OR Tambo District. Further, the study identified various role players involved in food security programme implementation in the District. Context-specific factors impacting on coordination are also identified. The assumption is that coordination can be improved through understanding the policy implementation context.

## ii) Planning

Planning is an outline of activities to be undertaken by the enterprise, as well as the methods to be followed (Gulick, 1937). A plan may be short, medium, or long term. It should consider the skills-base of the organisation, policy implementation contexts, identify stakeholder population and requirements, incorporate political and institutional knowledge, and budget constraints. The study aimed to understand the planning of the DRDAR and local municipalities and to contribute to how they can be improved. Improved planning will contribute to improving food security. Context-specific factors impacting on planning are identified. The study assumes that adequate planning can be improved through understanding and taking into cognisance, the policy implementation context.

## iii) Monitoring and evaluation

The study aimed to understand how monitoring and evaluation impacts on good governance in pursuit of food security objectives. Monitoring is “a continuing function that aims primarily to provide early indications of progress, or lack thereof, in the achievement of results” (World Bank, 2007). Monitoring provides an opportunity to identify and solve problems earlier. Monitoring may contribute to improved prospects for achieving organisational objectives. Evaluation is “the systematic and objective assessment of an on-going or a completed project, programme, or policy, and its design, implementation and results” (World Bank, 2007). An evaluation may be done at certain stages of a programme to assess progress towards outcomes. Evaluation may thus provide an opportunity to determine what is working well and what is not. Evaluation aims to assess programme impact, efficiency, effectiveness, and sustainability. Strengths and weaknesses of the current monitoring and evaluation processes were identified. The study assumes that effective monitoring and evaluation can be improved through effective leadership.

2.11.3. Governance theory: Effectiveness, efficiency, and responsiveness, accountability, and approach to governance (centralisation or decentralisation)  
Policy development and implementation are some of the essential roles of public administration. Policies should be implemented efficiently, effectively, and in a responsive manner. A consideration of both effectiveness and efficiency facilitates the assessment of public sector performance (Kjurchiski, 2014). Efficiency should be assessed together with effectiveness, as it would make no sense to achieve efficiency for a goal that should not even have been pursued in the first place. Assessment of both effectiveness and efficiency gives a complete picture of performance (Mihaiu, Opreana & Cristescu, 2010).

In addition to effectiveness and efficiency, organisational performance also includes responsiveness.

i) Effectiveness

Effectiveness is the extent to which results are being achieved using available resources (UNESCAP, nd.). The study aimed to understand the extent to which DRDAR and local municipalities are achieving results, using the resources at their disposal, and to determine if this is being done effectively. Effectiveness is about whether an organisation achieves its aim or not (Kjurchiski, 2014). The study tried to ascertain the effectiveness of the DRDAR in the implementation of food security programmes, from participants and through document analysis, specifically focusing on the annual reports of the DRDAR, the Auditor General and of the Standing Committee on Public Accounts (SCOPA). The study also tried to understand how the DRDAR could achieve effectiveness in the implementation of food security programmes. Reports of local government were not included as their contribution to the food security discourse would have been insignificant. The study assumes that effectiveness can be improved through effective coordination.

ii) Efficiency

Efficiency is the extent of cost-effectiveness (UNESCAP, nd.) in pursuit of organisational objectives. The study assessed the extent to which DRDAR and municipalities consider efficiency as a governance mechanism while pursuing food security. Efficiency is determined by a comparison of inputs to outputs and is difficult to quantify in public service because the sector pursues multiple objectives and projects that have social benefits, but whose economic benefit may not be measurable (Mihaiu *et al.*, 2010).

Efficiency is a requisite for the public sector to deliver services needed by citizens. In the context of the public sector, efficiency is an essential for strengthening democracy and governance (Florina, 2017). The study tried to find out from study participants and through document analysis (specifically of the annual reports of the DRDAR, the Auditor General, and the reports of the Standing Committee on Public Accounts (SCOPA) in order to understand how the DRDAR can achieve efficiency in their governance in implementing food security programmes. Reports of the local government, the Department of Social Development and the Agri-SETA were not included as their contribution to food security discourse would have been insignificant. The study also tried to understand how efficiency in implementing food security programmes could be improved. The study assumes that efficiency can be improved through effective coordination.

### iii) Responsiveness

Responsiveness is the extent to which institutions and processes respond to stakeholder needs within a reasonable time frame (UNESCAP, nd.). Responsiveness considers time, quality, and flexibility. Further, it depends on organisational culture and leadership (Asree, Zain & Razalli, 2010). The study sought to understand factors that impact on the responsiveness of the DRDAR and local municipalities. Understanding these factors would contribute to improving good governance in the implementation of food security programmes. The study assumes that the responsiveness of the DRDAR and local municipalities depends on the extent to which they are effective and efficient.

Having looked at variables of organisational performance, the study turns first to accountability and thereafter, discusses the approach to governance.

### iv) Accountability

The study tried to understand the current accountability mechanism and its impact on good governance in specific organisations implementing food security programmes in the OR Tambo District. Accountability in organisations is usually explained through agency theory which points out that the agent does not always act in the interests of the principal and this triggers what is referred to as agency conflict. Within this conflict, the agents maximise their own interest, ahead of the interest of the principals. The study assumes that, since it is difficult to provide incentives in the public service, especially for the lower and middle management employees, there may be a high number of agency conflicts, which may only be minimised through regular monitoring and control. Decision makers in public sector organisations are accountable to the public as well as to internal stakeholders. Accountability thus has an internal and an external focus (Graham, *et. al.*, 2003). Graham, *et. al.* further state that accountability is about transparency, which is the extent to which information flows, as well as the extent to which there is direct access to information, including information regarding processes, which would enable better understanding and monitoring by stakeholders. In order for this study to have more impact, it focused on internal accountability mechanisms.

### v) Approach to governance (centralisation or decentralisation)

The study also sought to determine the approach to governance by the spheres of government responsible for food security implementation in the OR Tambo District. Within the context of this study, the approach to governance refers to either centralisation or decentralisation. Marume and Jubenkanda (2016) define centralisation as the concentration of decision-making powers at the top of an administrative system. Decentralisation is a partial power and resource

transfer from a central government to institutions at regional or local level (FAO, 2006). This transferral of power can be within the state, or might involve stakeholders outside the state. The FAO (2006) further identifies three components of decentralisation, namely delegation (assigning certain tasks and powers to lower levels), deconcentration (transference of administrative responsibilities to lower levels) and devolution (establishing independent units or levels). Both centralisation and decentralisation are about power and how it is used.

#### 2.11.4 Food security variables

##### i) Access

The study aims to understand how good governance contributes to improving access to food, specifically, to understand the factors affecting access to food by households and how this can be improved. South Africa is food secure at the national level. Food security at the national level does not necessarily translate to household food security. The disjuncture between national and household food security is precisely because access to food depends on household income, expenditure on food, food prices and the purchasing power to access food from markets (Driemie & Ruysenaar, 2010; FAO, 2008). Access to food is also linked to age, gender, and health status (Driemie & Ruysenaar, 2010). The study sought to understand how good governance could improve food access by rural farming communities.

##### ii) Availability

The study tries to assess how good governance contributes to improving food availability, specifically on how good governance can be used to improve food availability. Food availability depends on the level of production, stock availability, and net trade (FAO, 2008).

#### Summary

This chapter reviewed the literature forming the basis of and guiding the study. It first gives the conceptual definitions of food security, governance, good governance, and policy implementation. After that, the complexity associated with governance, principles of good governance, nexus between food security and good governance, institutions in governance, the food security discourse, factors impacting negatively on food security, policy implementation theory, models and approaches, food security governance are provided. The chapter concludes by presenting the conceptual framework guiding the study. The variables of the three theories used, namely institutional, organisational and governance, and food security, were briefly explained and contextualised within food security policy implementation in the Eastern Cape.

## **CHAPTER 3: THEORETICAL FRAMEWORK**

This chapter discusses the theoretical framework in which the study is embedded and by which it is guided. The study is embedded in the governance, organisational and institutional theories. The chapter begins by providing a justification for the selected theoretical framework and conceptualises the same within food security policy implementation in the Eastern Cape. Various governance approaches and paradigms, their synergies, and controversies are highlighted. The chapter also discusses the power of institutions on the organisation, its processes, and the environment. Lastly, the chapter concludes with a discussion on the organisational theory wherein organisational processes are provided and contextualised within the study.

### **3.1. Theoretical framework for the study**

Variables necessary to contribute to answering the research questions for the study are from governance, institutional, and organisational theories. They were used to explore and better understand good governance in the implementation of food security programmes in OR Tambo District in the Eastern Cape. The theories have been selected based on their relevance and potential to shed more light on the research questions.

#### **3.1.1. Governance theory**

The information contained in the reports of the Head of Department and Auditor General (identified in the statement of the research problem) made it clear that there was a need to better understand governance mechanisms within the DRDAR. Governance theory is about policies, rules and regulations, structures, processes, decision-making, accountability and organisational performance (which includes efficiency, effectiveness and responsiveness). Governance theory would thus contribute to a better understanding of food security policy implementation by DRDAR and local municipalities in the OR Tambo District of the Eastern Cape province and would contribute to improving good governance by these organisations and the Department of Social Development and the Agri-SETA. In the main, governance is about policy-making and implementation. This study therefore seeks to determine good governance in the implementation of food security programmes by the DRDAR, local government, Department of Social Development and the Agri-SETA in the District. The selection of governance theory as one of the main theories underpinning this study, is thus justified.

The concept of governance within the context of public administration, has evolved over the past decades. Having earlier been characterised by formal and fixed structures and rules, it is now believed to be moving towards more flexible approaches. There has also been a change of focus from governance, to good governance, the latter being associated with the extent to

which the institutions are democratic. The concept of good governance finds its roots in organisational theory. There are two main approaches to governance within the context of public administration, namely the traditional approach to public management, i.e., the bureaucratic approach of Weber (1968), often referred to as the traditional approach, and the New Public Management (NPM) approach. In addition to the two approaches to governance, there is the Post-New Public Management (Post-NPM) approach. The proponents of post-NPM include Bryson, Crosby, and Bloomberg (2014) who attempt to go beyond the values of effectiveness and efficiency by putting democracy at the centre of the public governance debate. A discussion of the traditional approach, the NPM and the Post-NPM approaches follows.

#### *3.1.1.1 Traditional Public Administration*

The traditional approach to public administration was developed by Max Weber (1968) and is usually referred to in the literature as the bureaucratic approach. Weber's His bureaucratic approach to public administration is the most cited and influential theory in the literature. The theory views governance as characterised by rationality, rules and regulations and is associated with rigid structures and hierarchical organisation. According to Weber (1968), bureaucracy has several benefits, such as speed, clarity, precision, discretion, continuity, reduction of friction and personal and material costs, cost-effectiveness and it encourages specialization and objectivity, compared to other types of administration models. This approach started receiving attention in the late twentieth century and had efficiency as a primary focus. Further, the approach placed much trust in government and viewed government as being at the centre of service delivery to society. The approach was adopted as a result of urbanisation, industrialisation, market failures and the great Depression (of the 1930s). In this approach, political office-bearers set goals and objectives which were refined by technical experts prior to implementation.

The traditional approach has been subjected to many criticisms, mainly because of its lack of flexibility. In spite of many criticisms, it has laid the foundation for public administration and has contributed immensely to the theory and practice of public administration. There are claims among a few scholars that NPM has replaced the traditional approach. It is, however, unclear in practice whether NPM has indeed replaced the traditional approach, or whether some aspects of the latter have simply been modified or altered. Following a brief discussion of the bureaucratic or traditional approach, a review of the NPM follows.

### 3.1.1.2 *New Public Management approach*

The NPM approach found its origin in the behavioural-administrative sciences, especially in the United States of America (USA) and the United Kingdom (UK). Gruening (2001) cautions that behavioural-administrative sciences are tied to the values of scholars and as a result, some preference may be for community, individual freedom, or technical aspects. Gruening (2001) concludes that the presence of three scientific world views dominant in the behavioural sciences makes it extremely difficult to have a single paradigm in the foreseeable future. NPM is generally not a new paradigm, but rather a new arrangement of characteristics. Kuhn (1970) defines a paradigm as a way of thinking that influences behaviour. Professionals in a particular field carry out their work in a specific way. When still acceptable to organisation, paradigms (i.e. a way of thinking) influences behaviour of organisational members just like rules and is usually unquestioned and accepted without thinking. Paradigms may lose their value and be replaced by new paradigms. Most scholars indicate that NPM is not a new paradigm but a unique mix of characteristics.

The NPM approach was adopted as a governance reform in the 1980s and the 1990s and was seen to be a solution to the perceived failures of governments. It was hoped that its use would improve confidence in market efficiency and efficacy, trust in economic rationality as well as moving from a highly-centralised form of government towards the decentralisation of power to regions and to privatisation. NPM put more trust in market efficiency and effectiveness (Bryson *et al.*, 2014), unlike the traditional approach, which placed the focus on efficiency only, NPM also allows for management to be entrepreneurial, to set objectives and provide the support necessary for the attainment of organisational goals. In addition, NPM recognises the need to move from the traditional mode of governing, to running governments as business entities, focusing on the efficient and effective implementation of public policies, deregulation, decentralisation, the elimination of administrative barriers, and the use of business methods (Katsamunski, 2016).

The emergence of NPM four decades ago, is generally seen as one of the significant developments in public administration. According to Hood (1991), the rise in the popularity of NPM can be attributed to four significant aspects, namely cutting down on staff numbers and expenditure; a move towards the use of information technology in the provision of goods and services; the focus on a global approach to administration through considering the impact of policy on how decisions are made and lastly, emphasising collaboration between governments. This approach is different from the traditional approach for several reasons, for instance, the latter has a unitary state focus as opposed to NPM, which values and

acknowledges relationships between different states and actors. Despite the contribution of NPM to public administration discourse, some of its critics, including Dunleavy, Margetts, Bastow and Tinkler (2005), claim that NPM has outlived its usefulness. Dunleavy *et al.* (2005), believe that the time has come to replace the NPM with Digital Era Governance (DEG).

Białyżyt (2017) indicates that the use of NPM has caused much of the deterioration of state institutions, opines that it has failed to deliver results and, because of this, states have lost their place as providers of services to society. Białyżyt (2017) blames state failure on the use of NPM, concludes that NPM has long outlived its peak as a model of governance and goes further to state that the DEG model and its successor, the Essentially Digital Governance (EDGE) approach, have replaced NPM. While acknowledging that NPM is still the dominant approach used in many countries, Białyżyt (2017) is of the view that its use as a model for governance is decreasing and that alternatives are being considered. Gruening (2001) on the other hand, indicates that NPM is not a new paradigm but a new “special mix” of organisational characteristics.

NPM is one of the most dominant governance approaches discussed in scholarly literature. Despite this dominance, it faces many criticisms. Some scholars even claim that the NPM approach is long dead, but they fail to come up with alternative acceptable models of governance. Some models or approaches are just proposals which are yet to be widely accepted and as such, find no recognition amongst scholars. Lodge and Gill (2011) find very little evidence to suggest that there is a move from NPM, but acknowledge that this is contrary to studies conducted in a few developed countries such as New Zealand. Lodge and Gill (2011) conclude that the Post-NPM era has not yet arrived and may never come. In the absence of a better approach to governance, NPM, with all its limitations, either perceived or real, appears to be one of the best options available to public managers and politicians.

The NPM approach has been seen as promoting accountability, being progressive and minimising corrupt practices and incompetence (Hood, 1995). South Africa has also adopted the NPM approach to governance, although no information is available on how this approach has been adapted to the South African context to derive maximum benefits from it. The strengths, limitations, and challenges associated with the use of this approach within the South African context are thus not fully understood.

There is consensus in the literature about NPM having failed to achieve its objectives in developing nations (Manning, 2001). There is also an acknowledgment that it has not been fully implemented in developing countries where only some features of NPM have been implemented. The capacity to implement administrative reforms by developing countries has also been put into question. The failure of NPM as an administrative reform tool in developing countries may have been, to some extent, a result of only partial implementation and the limited capacity to implement the required changes. The contexts in which NPM was implemented could also have contributed to its limited success. Contrary to observations in developing nations, NPM has had some success in developed countries such as New Zealand Rubakula (2014)

NPM has not radically departed from the traditional approach to governance (UNDP 2015; Manning, 2001). This view is also echoed by Hood (1991), who indicates that NPM is not a new model, but an embodiment of similar doctrines found in the traditional approach of Weber (1968). The United Nations Development Programme (UNDP) (2015) also observed that governance reforms in developing nations are still primarily based on the traditional approach to public administration. The criticism that NPM has failed to achieve its objectives in developing countries, is not justifiable, given that there is widespread acknowledgment that it has only been partially implemented in these nations (Mongkol, 2011). The observation by the UNDP (2015) may mean that NPM co-exists with the traditional approach, especially in developing nations. Christensen (2012) indicates that administrative reforms are a combination of some aspects of the traditional approach, NPM and Post-NPM. Hwang (2018) views the Post-NPM approach as being complementary to, rather than a replacement of NPM. If this observation is correct, it may be necessary to understand and characterise this hybrid model, which is a product of several administrative reforms to maximise benefits derived from its use, while at the same time also managing its limitations.

The hybrid model may present governance challenges to public sector managers and politicians who may not have the requisite capacity to manage and deliver services within that context. This may be one of the contributing factors to the poor delivery of services because some aspects of the various approaches conflict with each other. In addition, very little information is available on the institutionalisation of governance reforms. This discussion highlights the need to understand the administrative reforms currently in use in developing nations. Scholarly studies are necessary in order to better understand administrative reforms.

If conducted, such studies would contribute to a better understanding of the character and nature of reforms and also contribute to their improved impact.

### *3.1.1.3. Post-NPM approaches*

According to some scholars, the NPM approach has not delivered on its promises and this has prompted a search for alternative models. NPM failed to produce efficiency and effectiveness in public administration in developing countries (Hwang, 2018). NPM is also criticised for its failure to produce a strong state. There are claims that NPM is long dead (Lodge & Gill, 2011) and suggestions that a better Post-NPM model should be found. Lodge and Gill (2011) indicate that the rationale for the proposed replacement of NPM is based on the failures of NPM as an administrative reform tool, together with the availability of new technological infrastructure and participatory tools necessary for the advancement of public management. Scholars propose some Post-NPM models as alternatives to the NPM. These models include Public Value Governance (PVG), DEG and the EDGE approaches as well as “rediscovering bureaucracy.” A brief discussion of PVG, DEG and the EDGE and “rediscovering bureaucracy” follows.

Post-NPM models are about enhancing coordination between state and non-state actors and have inter-organisational focus. Some aspects of the traditional approach, NPM and Post-NPM have been combined to form a complex governance model (Christensen, 2012). Christensen (2012) in a sense, reaffirms what other scholars are saying about the fact that most governance reforms have not significantly departed from the traditional approach, but merely modified or complemented certain aspects of it.

Taking into consideration institutionalisation, and the complexities associated with the adoption of new practices within organisations, it is not surprising that governance arrangements in organisations are so complex. Despite claims by many authors about the traditional approach having outlived its usefulness, it still continues to influence governance, administration and the organisational discourse. The fact that the traditional approach continues to be a reference point of what governance and public administration are, should be, or should not be, demonstrates the influence of the model on the political and public agendas for many decades.

i) Public Value Governance

PVG goes beyond the effectiveness and efficiency advocated by proponents of NPM by placing in sharp focus, public values that were present, but not given much emphasis in the previous approaches. The approach is a response to the challenges and shortcomings of the approaches that came before it. The PVG approach brings public value into sharp focus by paying special attention to the government as a provider of services to the public, emphasising the role played by government, but also putting more emphasis on the role of citizens, democracy and collective governance in public administration (Bryson *et al.*, 2014). This new approach sees citizens as being more than capable of solving societal problems through dialogue and collaboration. Scholars of this new approach have diverse views on how this public value will be achieved, and on the specifications of that value. These conflicting views may hinder the growth of the new approach and its perceived benefits. If it finds general acceptance by practitioners and scholars, the PVG approach may become the future of public sector governance and administration.

Governance worldwide is however, generally said to be largely still based on the traditional approach, even though critics claim that this approach is long “dead” (Dunleavy, Margetts, Bastow, & Tinkler, 2005). Dunleavy *et al.* (2005), claim that NPM has been replaced by DEG. This claim is not supported by most scholars.

ii) Digital Era Governance and Essentially Digital Governance

DEG recognises the role of the Internet in shaping the public administration landscape, as well as the role it plays in linking service delivery by the state to citizens. The Internet has altered the structure of organisations and has disrupted the elements ushered in by the traditional approach to public administration. Public administrators should use digital technology capabilities for the effective delivery of services to clients. Białożyt (2017) indicates that public administration cannot continue to be so rigid when so many clientele are frequent users of digital technology, but that it should instead use digital technology to offer services in a flexible, convenient and effective manner. EDGE is essentially an advanced form of DEG. Both challenge public administration to be flexible, to automate, and to simplify bureaucratic processes in delivering services to clientele (Białożyt, 2017). DEG may present a unique opportunity for creating self-sustaining change.

iii) “Rediscovering bureaucracy.”

Failures of administrative reforms worldwide, from developing to developed nations, have prompted practitioners and scholars to seek better models for introducing administrative reforms. The foundation of public administration lies in Weber’s (1968) bureaucratic approach, commonly referred to as the traditional approach to public administration, which has been the preferred approach to public administration for decades, but has more recently been deemed to be inadequate. Some critics of the traditional approach, view it as obsolete, undesirable and non-viable, and they propose a move towards the market or networked organisation (Olsen, 2005). NPM, which is one of the dominant approaches to administration, even though hailed as a departure by a handful of scholars, has, through empirical evidence, been shown not to have significantly shifted from the traditional forms of public administration. There is a general consensus among scholars that NPM has not been a resounding success as an administrative tool and this initiated the search for alternative solutions to administrative reforms. Olsen (2005) proposed that it was time to “rediscover bureaucracy” and concluded that a bureaucratic approach, when revisited, should be considered not as an instrument, but as an institution; it should consider time and context, including political and normative contexts. Olsen (2005) recognised that bureaucracy is not a panacea to organisational challenges, but part of overlapping, supplementary and competing forms, in coexistence with other approaches and models of administrative reforms.

South Africa’s public sector reforms have been drawn from international best practice (Gumede & Dipholo, 2014; Naidoo, 2015), especially for informing managerial capacity development and practice in the implementation of public policy (Naidoo, 2015). These reform efforts have yet to generate acceptable results as reports by the Auditor General and the Head of Department highlight issues that are symptomatic of the limited adoption of good governance practices in the public sector in South Africa (DRDAR, 2015/16). Naidoo (2015) assessed South Africa’s commitment to administrative reforms, including governance, over 20 years into democracy and asked a critical question about whether the policy rhetoric of reform had translated into practice. According to Naidoo (2015), managerial philosophies and related capacities may somehow have changed in South Africa but an evaluation of administrative capabilities shows that there has been very little evolution, but rather a combination of conflicting approaches exhibiting qualities of the NPM and Post-NPM approaches. A mix of administrative reforms, as well as limited implementation, may be some of the factors contributing towards the limited success of administrative reforms in the South Africa context. Inadequate implementation of administrative reforms is not unique to South

Africa, but is seen to be common in developing nations. The phenomenon may be because of a lack of capacity, resources, and political will.

Tolbert and Zucker (1983) studied the adoption of governance approaches in the USA. The findings of their study indicated that the successful adoption of a policy or programme depended on the extent to which it was institutionalised. In this instance, institutionalisation may have been due to the introduction of a new law by the country, or through gradual legitimization. In addition to institutionalisation, the pursuit of effectiveness, efficiency, or innovation may influence an organisation to adopt a different governance approach (Zattoni & Cuomo, 2008). Early adoption of a governance approach is driven by the pursuit of effectiveness, with late adoption often motivated by a need for conformity to generally accepted practices (Tolbert & Zucker, 1983).

Demands by external stakeholders may influence the adoption of certain governance structures. Westphal and Zajac (1998) indicated that formal structures of organisations may be adopted as a result of external stakeholders' demands, or as a result of internal organisational practices designed to suit organisational members. Greenwood, Oliver, Sahlin and Suddaby (2008) indicate that organisations adopt practices based on the extent to which they are rational.

It is evident from the literature that there are several factors influencing good governance approaches, including the pursuit of effectiveness, efficiency, innovation, rationality, institutionalisation, external stakeholder demand, and conformity to generally accepted practices and legislation. Literature is silent on how these factors influence the implementation of food security programmes.

It is also not clear from the literature whether, prior to the selection and implementation of governance approaches, due diligence is done to understand the contexts (social and economic) in which different approaches are implemented. Scholars acknowledge the role of economic and social contexts as being necessary for the achievement of governance outcomes. For instance, Katsamuniska (2016) states that the complexities imposed by the social environment, require better responses and governance necessary to cope with the emerging crisis and with complex issues. Developing nations should select governance approaches that are appropriate to their context, considering the economic and social environment (UNDP, 2015). Lately, some voices are emphasising the importance of environmental considerations

in governance decisions, hence the term “sustainability”. Sustainability includes economic, social, and environmental factors. Good governance should consider sustainable practices (UNESCAP, nd.).

There are few accounts of the failures of governance reforms in the literature. The failure to diagnose problems that lead to reform failures may represent a missed opportunity. Scholars appear to have been quick to suggest that new reforms are needed, while making minimal attempts to identify areas of weakness of governance reforms in existence, and thus invest in improving on identified gaps.

Various administrative reforms appear to be complementary, rather than different. The NPM approach, for instance, has not departed radically from the traditional approach, neither has Post-NPM departed much from NPM, nor has networked governance moved much from NPM. The potential for governance reforms based on the combination of complementary elements of various reforms, could be examined by scholars. Such reforms may have better prospects of success, if first piloted in different contexts.

The role played by institutional elements in organisations is well articulated in scholarly literature. It is known that institutional elements influence the structure, functions, and behavior of organisations (Berthod, 2016). Very little information is, however, available on the role of these elements in governance reforms. Most governance reforms have not had resounding successes, as highlighted earlier. Institutions may have contributed in one way or another to the limited success, or even failure of governance reforms, rather than the content of the reforms themselves.

In addition to governance approaches, in an attempt to improve organisational performance and service delivery, governments are increasingly adopting and incorporating some of the private sector practices into public administration. This contribution of private sector management practices to public management, is directly contributing to the theory and practice of public administration and resulting in gradual development and change.

There are a few claims in literature that the bureaucratic approach to governance is “dead” but such claims have not found full acceptance. Instead, the literature shows that most government administrative functions are guided and implemented using the bureaucratic or traditional model (Manning, 2001). Even though the bureaucratic model is often criticised for its rigidity,

it is still the most widely used approach. The public sector in South Africa has also been influenced by the bureaucratic approach as well as by NPM. There is consensus among scholars that the NPM did not depart much from the principles of the bureaucratic approach.

Of the many variables discussed above about governance theory, this study will focus on effectiveness (the extent to which goals are being achieved), efficiency (cost-effectiveness), responsiveness (ability to meet the needs of all stakeholders), accountability and the approach to governance (decentralisation and centralisation). The focus on these variables is because they are crucial to responding to challenges raised by the Auditor General and The Head of Department (detailed in the statement of the research problem). This study seeks to understand how organisational performance (effectiveness, efficiency, and responsiveness), accountability and the approach to governance affect food security implementation in OR Tambo District. The aim is to enhance organisational performance. Further, this study views organisational performance as being central to improving good governance in food security implementation.

#### Accountability

Accountability in most organisations is usually explained by agency theory, which is important given its ability to explain the relationship between the agent and the principal. The principal is dependent on the agent for the achievement of organisational outcomes (Spillane *et al.*, 2002). At the heart of agency theory, is the relationship between the agent and the principal. In this relationship, a phenomenon known as agency conflict can arise as a result of a conflict of interest where the agent acts in his or her interest, to the disadvantage of the principal. The agent thus maximises his or her benefit instead of that of the principal. To protect his or her interests, and thus minimize agency conflict, the principal puts necessary mechanisms in place. These mechanisms may include the introduction of incentives or monitoring the behaviour of the agent. Incentives maximise the probability of the agent acting in the interest of the principal.

Government employees may not always act in the interest of their principals and this may result in agency conflict which negatively impacts service delivery, especially in the implementation of food security programmes. Agency theory's basis is the management of the relationship between the principal and the agent. The goals of the agent and the principal may conflict, or it may be expensive for the principal to verify if the agent acts in the interest of the principal or not. Eisenhardt (1989) has identified different risk profiles of the agent and the

principal. For example, the agent usually has expertise which the principal may lack, but this does not necessarily imply that the agent will always use their expertise to the benefit of the principal. Agents not acting in the interest of the principals, is at the heart of the conflict referred to as the agency conflict. The success of an organisation depends on the willingness of the agent to use their expertise to the benefit of the organisation. The knowledge of the agent is essential for the organisation to realize its objectives and the challenge with expertise residing with the agent, is that the agent may not always use that expertise in the interest of the principal or the organisation or the intended beneficiaries. The principal thus puts mechanisms in place that will ensure that the agent still uses their knowledge in the best interests of the principal.

Contradictory goals between the agent and the principal may impact negatively on programmes, organisational performance and outcomes. Principals or shareholders of organisations, employ managers (agents) who run organisations on their behalf (Hall, 1998). Miller (2005) states that the agency relationship occurs when economic actors delegate their authority to other actors to act on their behalf. Jensen and Meckling (1976) define the agency relationship as a delegation of authority by the principal to the agent to conduct a service on his or her behalf. They further point out that, since both the agent and the principal maximise utility, the agent will not always act in the interest of the principal. The conflicting interests between the agent and the principal result in the agency conflict.

To minimize the principal-agent conflict, costs are incurred called agency costs. Jensen and Meckling (1976) define agency costs as a combination of the residual loss (i.e., monetary value lost by the principal as a result of divergent views between them and the agent), the monitoring of costs of production by the principal, and bonding costs linked to contracting (to ensure that the agent will always act in the best interest of the principal). At the crux of agency theory is the management of ownership and control. Jensen and Meckling (1976) call the separation of ownership and control “a general agency issue.”

In addition to the causes of agency conflict as discussed above, the behaviour of people is not always rational, and people will not always act in the interest of other people (Jensen, 1994). Organisations aim to maximise market value, but the agent may act in their own interest and against the interest of the principal, in choosing to maximise their own benefits. Namazi (2013) points out that the agent is motivated by self-interest, hence the reason for divergence. In trying to minimize loss as a result of agency conflict, the principal develops mechanisms to ensure the maximisation of benefits and the minimization of losses Namazi (2013). One such device

to regulate the principal-agent relationship, is a contract. The regulation of this relationship results in costs called agency costs. Agency costs should be weighed against benefits. Common sense dictates that they should not be higher than anticipated the benefits (Hall, 1998). These costs include the costs involved in the monitoring of managers and thus protecting the interests of owners or shareholders, protecting bondholders from shareholders, are incurred as a result of the separation of ownership and control (Jerzemowska, 2006).

In developed nations, legal regulations for protecting principals against exploitation by agents serve as a means to reduce agency costs. These mechanisms include regulatory and governance arrangements. Regulatory mechanisms are a means of governing the relationship between the agent and the principal by constraining the agent's behaviour and can include setting rules and standards, as well as developing entry and exit strategies.

Governance mechanisms are a means of controlling the actions of the agent and include, the power to hire and fire managers, the authority to initiate and ratify decisions of managers and lastly, trustee and reward strategies, including rewarding the agent for acting in the best interests of the principal (Hansmann & Kraakman, 2009). Trustee and reward strategies include a sharing rule that rewards the agent for being loyal to the principal's interests.

Other ways of managing the agent-principal relationship include, having an independent board, putting committees in place to manage the relationships and costs, improving ownership and managerial control (Panda & Leepsa, 2017), and introducing incentives Miller (2005). Incentives may include better pay to the agent in exchange for better performance (Armour *et al.*, 2009). These efforts are all meant to ensure that an agent acts in the interest of the principal to reduce the risk of agency conflict.

Agency conflict may result in financial loss in private companies (Smith, 2010). Principals would, as a matter of common sense, attempt to develop solutions to the agency problems and thus minimize financial loss. There is no universal solution to agency conflicts. The solution to agency conflict is the trade-off between benefits and cost. Given that the agency conflicts are managed differently, this gives rise to unique firms (Miller, 2005).

The literature on agency theory is predominantly on private sector organisations, with the main emphasis placed on incentives. This approach, even though applicable to the higher management echelons and executives within the public sector in South Africa, may not necessarily be applied as a blanket approach to lower levels. Furthermore, very little is known

about the management of agency conflict in public sector organisations in the South African context. This study contributes to a discussion of agency conflict within the South African public sector.

Given the rampant corruption and service delivery failures in South Africa, research is necessary to understand the complexities associated with the impact of agency conflicts on the delivery of services. Mubangizi and Tshishonga (2013) investigated the value of political and community oversight in good governance in South Africa. The study found political and community oversight to be the key to strengthening accountability for enhanced service delivery. Within this context, these oversight mechanisms would minimise agency conflict.

Agency theory may be criticised for focusing only on the protection of the principal's interest, but being silent about protecting the agent's interests. The principal has the potential to exploit the agent. For example, principal may treat agents in an unfair manner or may not reward the agent where such is due. Agents are responsible for implementing organisational programmes on behalf of the principal, but the literature is silent on how agents influence the implementation of food security programmes in rural areas. This study attempts to fill that gap.

The literature on the influence of governance on the implementation of food security lacks coherence. Even though the importance of good governance in the successful implementation of food security programmes is acknowledged, it is not clear how good governance influences the implementation of food security programmes, especially in rural areas. Furthermore, the role of better coordination, planning, monitoring and evaluation, and organisational culture in influencing food security programmes is not well understood as there is very little information about it.

This study aims to contribute to the literature by integrating some variables of governance, institutional and organisational theories in explaining the implementation of food security programmes in OR Tambo District. To limit the scope of this study, only relevant variables of the theories have been selected, as informed by the research problem and questions.

This thesis seeks to explain how accountability; a variable of good governance affects the implementation of food security programmes. Within this context, the aim is to understand what accountability challenges exist, and what their impact is on governance in the

implementation of food security programmes. Inadequate accountability mechanisms may impact negatively on programme performance. While different types of accountability exist, this study focuses on administrative accountability, which is concerned with monitoring outputs and results and thus making those with delegated authority answerable for tasks, according to established performance criteria. This type of accountability is associated with internal control mechanisms and is focused on achieving effectiveness and efficiency (Christensen & Lægreid, 2015). The thesis aims to make recommendations to contribute to improved managerial accountability within the context of food security implementation in the District.

### 3.1.2 Institutional theory

The earlier conceptualisation of organisations neglected institutional explanations by focusing only on rationalist views. These views assumed that organisational actors were rational in decision-making. The assumption was that the decisions of organisational members were based on an evaluation of costs and benefits to the organisations. The rationalist view of organisations did not take into consideration the roles played by institutions in influencing organisational behavior. Following the sterling work of Meyer and Rowan (1977) and Zucker (1977), institutional explanations started gaining prominence. They were thus included, together with the rationalist view, in later conceptualisations and explanations of organisations.

Institutional theory was chosen as one of the theories in which this study is grounded for a number of reasons, including that it recognises the power that institutions have in influencing the behavior of organisational members and, thus organisational behavior.

Institutions are an integrated set of established social rules that structure social relationships and behavior. Institutions give structure to thought processes and meaning, and inform behavior and expectations. Further, they shape the nature and establish the predictability of human behavior (Hodgson, 2006). Institutions are the norms, values, beliefs and rules that are taken for granted and that determine the types of organisations, organisational structures, and organisational processes (Berthod, 2016). The beliefs, norms, values and rules that are taken for granted are summed up in a concept called organisational culture. Organisational culture is about “how things are done here.”

Institutional theory is included as one of the theories on which this study is embedded because of its ability to explain the behavior of organisational members and thus the organisation,

including why certain structures are chosen over others, as well as explaining why certain processes happen the way they do. It was also chosen because of its ability to explain change, or resistance to change, in organisations. Change happens when values, norms, beliefs, and rules, which have become taken for granted, get accepted as being legitimate and true, and are not questioned (Tolbert & Zucker, 1996). Food security studies have not incorporated organisational culture in explaining governance. This study sheds some light on the phenomenon.

Institutional theory is an attempt to explain organisational behavior using institutions. Specifically, it attempts to explain why and how organisations behave the way they do as a result of interactions with their institutions. Institutional theory focuses on the processes that are involved in the development of structures such as values, norms, routines and rules that develop and get embedded within the organisation and shape the behavior of its members (Scott, 2005). Institutional theory is difficult to analyse and develop in detail, since it taps into assumptions and beliefs that are taken for granted and that drive behavior (Zucker, 1987). The primary foundation of institutional theory as it stands today is a product of the scholarly work of Meyer and Rowan (1977) and Zucker (1977). These scholars introduced organisational explanations, termed the new institutionalism. Institutionalism explains why and how organisations behave. The explanations are part of what is commonly referred to as institutional perspectives. Their foundational work contributed significantly to the development of institutional theory, by recognising the power that lies within organisations and within the institutional environment. These authors explained what institutions are and how they impact on organisations. Following their work, organisational scholars were able to understand, and thus explain, the power of institutions in influencing organisational behavior.

Earlier conceptualisations of institutional theory focused on the power of the institutional environment in the organisation. Later explanations recognised the ability of the organisation to influence its own environment (Zucker, 1983). Building on the sterling work of Meyer and Rowan (1977) and Zucker (1977), Tolbert and Zucker (1983) explained how institutionalisation occurs and described it as the process involved in the institutionalisation of values, norms, customs and rules so that they become embedded and are accepted as an integral part of the organisation. This process is at the core of the institutional theory of organisations. Once institutionalised, values, beliefs, customs and norms are acted upon without being challenged or questioned (Zucker, 1983).

The power of institutions is shown in their ability to influence structures, practices, and organisational forms. Searle (2005) defines an institution as a collective set of rules i.e., procedures and practices, which have become accepted and thus develop into institutional facts which are never questioned. It is therefore crucial that institutions that are necessary to support the realisation of organisational objectives, are developed. According to Hodgson (2006), institutions may either constrain or enable social interactions. Given the importance of institutions in organisations, an attempt should be made by organisations to strengthen institutions and thus improve results and gain competitive advantage. In the case of public institutions, where the aim is not to outperform the competition, the benefit of stronger institutions lies in their contribution to better delivery of services to citizens. Within this context, there is a need to understand how institutions, and specifically organisational cultures, contribute to the achievement of better policy implementation and outcomes.

Institutions are a source of formal structures, but they are so powerful that they may reduce formal structures to “mere myth and ceremony” (Meyer & Rowan, 1977). More attention thus needs to be paid to institutions, given their influence on structures and explaining how organisations and their members behave. Earlier conceptualisations of organisations neglected institutions. It is not clear why this was the case, given the power that institutions have in organisations.

Institutional theory involves three main elements, namely cultural-cognitive, normative, and regulative elements (Berthod, 2016). Cultural-cognitive elements are mental constructions embedded in organisational actors that influence how they behave. Normative elements, on the other hand, are about the appropriateness of behavior or actions that are commonly shared by organisational actors. Lastly, regulative elements are requirements by regulatory bodies or governments. These three institutional elements influence how internal actors behave and, to a large extent, influence how organisations operate. Literature is silent on how institutional elements affect the implementation of food security governance. This study will shed some light on the phenomenon.

Institutional theory is the basis for organisational design, analysis, and behaviour. Institutional theory has been criticised for conceptualising organisations as local instantiations as well as for its over-simplistic view of individuals (Berthod, 2016). It does, nonetheless, bring to light the role that individuals and networks play in shaping institutions.

Earlier conceptualisations of institutional theory viewed organisations as rigid, but later writings acknowledge that institutions are changing and dynamic and should thus be conceptualised as such. The external environment influences organisations and their designs, as organisations are constantly evolving as they respond to external demands.

The rise of institutional theories is attributed to dissatisfaction with efficiency as a measure of organisational analysis (Berthod, 2016). Efficiency-based organisational analysis is an economist's view and was later seen as being inadequate in explaining the institutional phenomenon. The efficiency-based view focused on the importance of resources in organisational analysis. The view is referred to in the bulk of scholarly work as the rational approach. This approach views the action of organisational actors as being rational and is a product of earlier conceptualisations of institutional theory. According to Suchman and Edelman (1997), earlier conceptualisations of institutional theory, focused on the rational and material aspects of the organisation, while at the same time downplaying the role of cultural aspects like values, beliefs, rituals, and symbols. Suchman and Edelman (1997) indicated that it was only in the late seventies that cultural factors began to attract attention from scholars. Organisational scholars and political scientists then started to include aspects such as norms, rules and beliefs that were taken for granted in explaining institutions. Including norms, beliefs and rules with the rational approach in explaining institutions, gave much more realistic view of organisations.

Institutional theory is about institutionalisation, deinstitutionalisation and re-institutionalisation. Institutionalisation involves the incorporation of practices that are producing results so that they become part of the institution. On the contrary, some practices that are no longer producing the required results have to be "unlearned" through the process of deinstitutionalisation. Certain lost practices may be relearned to become part of the institution's way of doing things, through the process of re-institutionalisation. Many factors contribute to institutions adopting new ways of doing things as well as discarding others that are seen as no longer necessary. Berthod (2016) indicates that institutionalisation is a way for organisations to gain legitimacy, reduce uncertainty and to be understood.

Institutions are continually changing as they try to adapt to internal and external demands. Changes in the business environment or even demands by stakeholders may be some of the factors contributing to organisational change. Organisations learn new values, practices or norms which they incorporate into their daily thoughts, practices and behaviour, through the process of institutionalisation. Institutionalisation occurs through diffusion, which results in

new elements from the institutional environment being adopted, taken for granted and accepted into the organisation, where they influence behaviour and organisational practices (Greenwood, Oliver, Sahlin & Suddaby, 2008).

The adoption of new elements involves change. Greenwood *et al.* (2008) indicate that organisational change may cause organisations to become similar (isomorphic). DiMaggio and Powell (1983) give three ways in which isomorphism occurs, namely coercive, mimetic, and normative. Coercive isomorphism occurs when an external actor such as government, forces an organisation to adopt certain practices; mimetic isomorphism occurs when organisations copy certain practices from other organisations, while normative isomorphism involves adoption based on social norms. Sources of normative pressure are the organisation itself and the state (Zucker 1987). Coercive isomorphism is adopted to avoid the consequences for non-compliance which could potentially be implemented by an external agent in the case of violations. Mimetic isomorphism, on the other hand, results from the adoption of practices from organisations perceived as successful. DiMaggio and Powell (1983) indicate that coercive isomorphism occurs as a result of political influence and the pursuit of legitimacy, while normative isomorphism is a result of professionalisation, with mimetic being a product of a standard response to uncertainty.

Institutional theory recognises the role of actors in the creation of social reality. The interaction between the actors and the organisation contributes to the creation of the institutional environment which in turn, influences actors. These actors may be internal as well as external and include governments, regulatory bodies and employees of organisations, and unions (the latter in the South African context). All these actors contribute towards the creation of the institutional environment. Institutional environments are no longer stable but highly dynamic, as there is now the cross-transfer of economic, social and political ideas as a result of globalisation. It is thus essential that modern organisations are cognisant of these changes to remain competitive, for growth and development, and to improve the delivery of services.

The earlier conceptualisation of institutional theory, viewed the organisation as being a product of the institutional environment only, however with time, the role of organisations in influencing their own institutional environment has been recognised. The power that organisations possess and can use to alter their environments was only recognised in later conceptualisations of institutional theory (Zucker, 1983). Sources of institutional change were later seen as coming from outside organisations as well, and no longer as only coming from the institutional environment itself.

Organisations develop norms and values, which, through the process of institutionalisation evolve into unique cultures. All countries and government institutions have unique cultures that are influenced by historical contexts. Due to their influence on organisations, institutions affect governance or administrative reforms. When administrative reforms are introduced, the extent of their adoption depends on the extent to which they are compatible with existing institutions, including organisational cultures (Christensen & Laegreid, 2011). Diagnosing organisational culture prior to the implementation of change, including the change associated with administrative reforms, may help inform the design and structure of the implementation of the required change, and therefore improve the prospects of successful outcomes.

Schein (1990) highlights the importance of paying attention to existing cultural forces if the change initiative is to be successful, and also warns of failure of change initiatives if organisational culture is ignored. Organisational culture is:

*... a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems (Schein, 2004, p. 17).*

Schein (2004, p. 17) highlights two aspects of culture formation, i.e., adaptation and integration. According to this definition, there are internal and external factors affecting culture development. Furthermore, culture formation is influenced by the results achieved. Lastly, culture once considered valid, gets passed on to new members and influences these members' perceptions, thoughts, and feelings. It is thus important to ensure that suitable cultures are developed, so that they can add value to the development of organisations.

More can be done by organisations towards the development of an appropriate organisational culture, especially given that once institutionalised, it is taken for granted, and less effort will be necessary to maintain it. A suitable culture may result in workers behaving and acting in a

manner that advances the organisational objectives. In the case of the implementation of public policies, this may mean that policies may be implemented effectively and efficiently, if a suitable culture is maintained.

Considering principal-agent conflict, the development of a suitable organisational culture may potentially contribute to improving the relationship between principals and agents. Agents may act more in the interest of principals, which may mean less conflict between the principals and the agents and thus be more beneficial to the organisation.

Organisational failures may to a large extent be attributed to the neglect of an unfavorable organisational culture. This may be due to the effect of organisational culture on organisational performance and effectiveness. A favorable organisational culture has a positive impact on performance and organisational effectiveness (Cameron & Quinn, 2006). Shahzad, Luqman, Khan and Shabbir (2012) found that organisational culture impacts on organisational performance. Kamaamia (2017) established that organisational culture affects customer service and internal business procedures, both of which have an impact on organisational performance. Ahmed and Shafiq (2014) indicated that organisational culture is the single most important variable impacting on organisational performance, that it happens when employees have the same norms and values as those of the organisation, and results in the attainment of organisational goals. Based on the above discussion, it is evident that improving organisational culture in support of organisational performance, may contribute positively to the achievement of organisational goals.

Very little attention has been given to organisational culture in the food security governance literature. The reason why organisational culture is often neglected or ignored, may be that it involves values and expectations that are taken for granted, underlying assumptions, collective memories and definitions present within the organisation. The culture of the organisation gives its members a sense of identity; it is often unarticulated and influences how organisational members relate to each other (Cameron & Quinn, 2006). Given the importance of organisational culture, more attention should be paid to developing a favorable organisational culture that facilitates the realisation of the organisation's goals.

Culture is about how things are done. Cameron and Quinn (2006) identify four organisational culture types, namely Hierarchy, Clan, Adhocracy and Market. Hierarchy and Clan cultures have an internal focus and integration, with Adhocracy and Market cultures having an external focus and differentiation. Hierarchy culture is based on the traditional approach to public administration. Further, it is characterised by rules and formal structures while Clan culture is characterised by cohesion, shared values and goals, good participation, teamwork, and

commitment. Adhocracy culture, on the other hand, is characterised by rapid reconfiguration, creativity, and flexibility and is suitable in environments characterised by ambiguity and uncertainty. Market culture is driven by competitiveness and productivity with sales, exchanges, and contracts characterising this culture. Culture has the power to influence individual and organisational behavior.

Organisational culture influences the structures, processes, human behavior, and decision-making within organisations. This study seeks to understand the impact of organisational culture on how food security programmes are being implemented in the OR Tambo District. This is important, given that the failure of many organisations can be attributed to their culture.

This thesis aims to establish the culture present within the context of food security programme implementation and the bearing it has on policy implementation process in the OR Tambo District. The above discussion established the importance of institutional elements within the context of this study, the element of focus being organisational culture. As stated earlier, organisations are impacted by organisational culture. It is thus important to provide the theory behind organisational establishment and functioning, i.e. organisational theory. The next section thus turns to organisational theory

### 3.1.3. Organisational theory

Organisational theory was established in the work of Henry Fayol. The theory emphasises the importance of planning, command, organizing, staffing, directing, coordinating, control reporting, and budgeting (Fayol, 1937; Gulick, 1937). It views all the above as necessary for organisations to achieve their objectives. As stated earlier, challenges raised in the reports of the Head of Department and the Auditor General (detailed in the statement of the research problem) highlighted the need to better understand how the DRDAR develops and implements its food security policies. This can only happen if planning, coordinating, and monitoring and evaluation are understood. The selection of organisational theory as one of the main theories on which the study is couched, is thus justified.

Fayol viewed an organisation as an entity that needs to be guided by managerial principles and process. Organisational theory is the basis of organisational success, with its importance increasing with an increase in organisational size and complexity (Fayol, 1937). He further emphasised that no organisation can succeed without good management, and warned of the failure of enterprises devoid of good management.

The principles of good management are: division of work, authority, discipline, unity of command, unity of direction, subordination of individual interest to general interest, remuneration, centralisation, line of authority (scalar chain), order, equity, stability of tenure of personnel and lastly, initiative (Wren & Bedeian, 2009). These principles are applied within the context of the managerial process that comprises five elements, namely planning, organising, command, coordination, and control.

Fayol recognised the value of managerial, technical, commercial and financial security and accounting skills for the success of an organisation (Pryor & Taneja, 2010). Scholarly literature does not explain how coordination, planning, and monitoring and evaluation can be improved, or how these can contribute to the improved implementation of food security programmes in rural areas. This study will shed some light on this phenomenon.

Luther Gulick, one of the main proponents of organisational theory, expanded on the work of Henry Fayol by developing POSDCORB, a pattern of administration which is an acronym for Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting. POSDCORB has been extensively used as an effective tool in organisational design and analysis. Chalekian (2013) suggested that POSDCORB be considered as a framework. Through the application of POSDCORB, further patterns of administration other than those identified by Gulick, have been identified. POSDCORB may thus be regarded as an indispensable tool in the design and analysis of organisational phenomena. Specific characteristics of the organisation and the operating environment, can result in the identification of any additional patterns of administration.

Gulick sees work division as a basis for the organisation and concludes that it is the reason for organisational existence. Gulick (1937) indicates that organisational theory is about the nature of coordination imposed on the work division of the organisational units. Subdivision of work is necessitated by three things, namely human nature, time, and space (Gulick, 1937). Gulick explains how the division of work impacts on organisational functioning. His work is theoretically grounded while at the same time, providing practical suggestions on how to improve organisational effectiveness.

Gulick points out that if the subdivision of work is necessary, it should be characterised by effective coordination. He further points out that coordination is usually done in two ways, namely through the organisation, and through the dominance of an idea. Co-ordinating through the organisation is achieved through placing individuals who are higher in the organisational

structure, so that they can convey instructions down the organisational hierarchy. In contrast, coordinating through the dominance of an idea, is achieved by bringing people around an idea of interest to the organisation. This usually involves specialists meeting to discuss developments of interest to the organisation.

Effective coordination through the organisation requires paying attention to the span of control and technical efficiency. The span of control is the number of people that a supervisor can supervise effectively. There is no agreement about the number of people a supervisor can effectively supervise, with proposed numbers ranging from 3-4, 5-6, to 8-12. Of importance in determining the span of control, are functions and roles, the time factor, personality, and geographical location. A single line of authority is essential for effective coordination (Wren & Bedeian, 2009). Technical efficiency is influenced by the nature of the work groups. There is a scholarly consensus that effective coordination is highly possible in homogenous, rather than heterogeneous groups. Group heterogeneity usually results in conflicts and thus, inefficiency. This may be due to the group members' conflicting interests. Gulick points out that administrative inefficiencies in public service are common, due to a lack of group homogeneity.

Public service may need to consider improving the composition of workgroups in favour of homogeneity, to enhance coordination effectiveness. On the other hand, heterogeneity may be valuable to the organisation, because diversity, balance, and richness of ideas can, in turn, add value to the functioning of the organisation. It may also allow for group members to have a better understanding and appreciation of other roles within the organisation.

Gulick (1937) further points out that the size of the organisation, complexity or simplicity, stability or change, need to be taken into consideration when deciding on a coordination strategy. This is because size, complexity or simplicity, stability or change, all affect the nature and structure of coordination. Certain things such as human nature, which have the potential to hamper effective coordination, need to be taken into consideration when considering a coordination strategy. Gulick (1937) points out that human nature, especially habits, can have a negative impact on coordination, especially when time is of the essence. According to him, this happens when change happens fast within the organisation.

Gulick (1937) indicates that coordination choices can be informed by geographical location, function, process, or clientele and—that while organisational units may be effective on their own, the aim of the organisation should be to achieve the overall effectiveness of the

organisation. Effectiveness in one group may be eroded by ineffectiveness in other groups. Earlier conceptualisations of organisational theory, as discussed above, focused on structures and processes, while neglecting the roles played by institutional aspects which impact on organisational behavior. This is unexpected, given that, earlier scholarly work on organisational theory, recognised the value of organisation as both an “economy” and an “adaptive social structure” Selznick (1948). It is also unexpected that most literature still focuses on the organisation as an “economy”, while neglecting the fact that it is a social unit. Expanding on the social aspects of the organisation would have allowed a better understanding of the organisation, as it would have recognised institutions as integral parts of organisations much earlier. It was not until the late 1970s that organisations came to be interpreted and understood in the context of the institutional elements that drive organisational behavior.

This study attempts to understand how coordination, planning, monitoring, and evaluation in the implementation of food security programmes, can be improved. These factors are included in the context of managerial responsibilities, and are seen as having the potential to enhance good governance. Coordination, planning, monitoring, and evaluation all require delegation of responsibilities to an agent or agents by the principal. This delegation of responsibilities and the resulting complexities are the basis for agency theory.

#### Summary

This chapter provided the theoretical framework guiding the study and within which the research is embedded. The three theories used in the study, namely, governance, institutional and organisational theories, were explained, and their choice justified and contextualised within food security policy implementation in the Eastern Cape. The following chapter will outline the methodology followed in attempting to provide answers to the research questions.

## CHAPTER 4: RESEARCH METHODOLOGY

This chapter describes the methodology followed in conducting this study. It explains various considerations and choices made during the study in attempting to answer the research questions. It provides the, research paradigms, approaches, research design, sampling strategies, sample size, data collection strategy, data quality control, data analysis, and ethical considerations. A methodology in the context of research is about decisions about data collection methods and analysis, and choices of research participants. Further, a methodology is about choices of specific methods available to the researcher, options necessary to find a solution to the research problem, systematic steps to be followed after a particular method has been selected, and a theory of scientific knowledge, precisely assumption about the nature of reality.

### 4.1. Paradigm

Studies, whether qualitative, quantitative, or using mixed methods, are influenced by how researchers view the world. These views are called paradigms. This thesis adopted the constructivist paradigm; which believes in subjective nature of knowledge. Further, the researcher reconstructs the reality of participants through interactions. The chosen paradigm is compatible with the qualitative case study approach adopted in this study. Patton (1978, p. 203), quoted in Lincoln and Guba (1985, p. 15), defines and explains a paradigm as:

*...a world view, a general perspective, a way of breaking down the complexity of the real worlds...paradigms are deeply embedded in the socialization of adherents and practitioners: paradigms tell them what is important, legitimate, and reasonable... their strength (paradigms) in that it makes action possible, their weakness in that the very reason for action is hidden in the unquestioned assumptions of the paradigm (Patton, 1978, p. 203).*

Since paradigms influence how researchers view the world, all research choices from the study topic, research questions, literature review, methodology, conceptual and theoretical frameworks are influenced by a particular research paradigm. Paradigms influence behaviors and thoughts and are linked to socialisation.

Paradigms are informed by ontology, epistemology, and methodology. Ontological, epistemological, and methodological orientations are all embedded within paradigms and guide the research process. This influence happens, irrespective of the researcher's conscious awareness or lack thereof. A brief discussion of these orientations follows, starting with ontology, followed by epistemology, and lastly methodology.

Ontology is about the nature of reality. This is about whether reality is objective, subjective, or constructed (Sarantakos, 2005).

Epistemology is about the relationship between the possessor of knowledge and the knowledge itself. Specifically, epistemology focuses on the origin, nature, and limits of knowledge and the type of knowledge that the inquiry seeks to establish (Pillai & Kaushal, 2020). Since knowledge within the constructivist paradigm adopted for the study is constructed through interaction between the researcher and the participant, such knowledge cannot be assumed to be value or context-free. Within the context of this study, knowledge was also constructed through triangulation of the research respondents' knowledge shared with the study, the literature, and annual reports, specifically of the DRDAR. The study context influenced the interpretation of results, and thus knowledge was generated.

Values are reflected in the nature of the theory underpinning the inquiry, the research design, the constructions brought by the researcher into the research process, as well as by the selected paradigm influencing inquiries (Guba & Lincoln, 1989).

The epistemological orientation of this study is an interpretive approach, which is one of the three approaches on which a case study methodology is based. Other epistemological approaches employed by case study researchers, are critical and positivist approaches. The critical approach involves questioning one's assumptions about a research phenomenon within the context of a wider social and political sphere; the positivist approach involves theory testing and refining of the same, while the interpretive epistemological approach, aims to understand meanings (individual and shared), context, and processes from multiple perspectives (Crowe *et al.*, 2011).

Ontology within the constructivist paradigm is relativist ontology, which is based on the belief that reality can only be understood from some specific, disciplinary perspective. Relativist ontology believes in the existence of multiple realities that exist outside natural laws or causality of the same. According to Guba and Lincoln (1989), the constructivist paradigm renders the ontology-epistemology distinction inseparable since the knower and what is to be known, are inseparable.

Methodology is about how knowledge is acquired, focusing on methods, systems, and rules necessary for conducting research (Guba & Lincoln, 1989). It asks how the investigation is to be constructed and conducted, i.e., the nature of research design and the methods to be used to conduct the study (Sarantakos, 2005).

The current study is based on the constructivist paradigm. Within the constructivist paradigm, the researcher reconstructs the reality of the research participants. Further, the research results should include a negotiated outcome between the researcher and the study participants if the trustworthiness criteria of the research are to be met (Lincoln & Guba, 1985). The researcher interviewed a total of 58 respondents and made interpretations from multiple perspectives, inclusive of those generated from annual reports and literature, thus increasing the trustworthiness of the research findings.

The constructivist paradigm rejects the presence of objective truth or reality. It views reality as a product of social construction. Other assumptions of this paradigm are: absolute truth does not exist; there are different ways of acquiring knowledge apart from through the senses; inquiries focus on social constructions of knowledge; there cannot be meaning without human interaction; the emergence of meaning is a result of people's interaction with the world and that the world is a construction by its inhabitants (Sarantakos, 2005). Researchers influenced by the constructivist paradigm believe in the social creation of reality, follow interpretive approaches, and accept the subjective nature of knowledge (Lincoln & Guba, 2000). Burns, Bally, Burles, Holtslander, and Peacock (2022) indicate that constructivism is essential in discerning meaning of experiences that can inform and improve practice.

#### 4.2. Research approach

Having adopted the constructivist paradigm, this study follows a qualitative case study research approach. Case studies are employed in exploring a contemporary phenomenon and where the context is inseparable from the phenomenon. This thesis sought to understand the nature and processes of food security governance in the OR Tambo District. Given that understanding of processes and the nature of governance require an in-depth understanding, the qualitative approach was most suitable. Further, this approach is compatible with the constructivist paradigm. Burns *et al.* (2022); Denzin and Lincoln (2000) confirm the complementarity of the constructivist paradigm and the case study approach as they call a constructivist view, an interpretive paradigm compatible with the interpretive case study approach. Interpretive paradigms usually follow a qualitative research approach (Aspers & Corte, 2019).

Unlike quantitative research that is based on the use of numerical data to arrive at research findings, qualitative methods use words and image data, which lead to a better understanding of the research problem and study questions (Ahmad, 2019; Creswell, 2014). Qualitative research is a method of choice when research is aimed at discovery, gaining insights, and interpretation, as opposed to hypothesis testing (Pillai & Kaushal, 2020; Noor, 2008). The aim

of the qualitative research method is to answer “how” and “why” questions, and results in a better understanding of the research phenomenon (Shoaib & Mujtaba, 2016). Qualitative methods are best placed to answer “how” and “why” questions. According to Gillham (2000), the goal of qualitative research in any field of study, is the collection of evidence and theory development. Evidence gathered during a study may qualify, contradict, or even complicate prior evidence. Gillham (2000) goes on to advise that qualitative researchers should keep an open mind and thus refine existing theories, or even develop new theories, if evidence so suggests. This study aims to develop a theory on good governance in the implementation of food security programmes in OR Tambo District, using the qualitative case study approach.

Qualitative research approach is used when little is known about the research phenomenon (Cooper & Schindler, 2014). Since there is little information about good governance in the implementation of food security programmes in the OR Tambo District of the Eastern Cape Province, the qualitative approach is the most suitable method to provide “rich data” and thus contribute to a better understanding of the research phenomenon.

Lincoln and Guba (1985) indicate that the qualitative paradigm substitutes the internal and external validity (of positivist and quantitative approaches) with trustworthiness and authenticity. The interview method of data collection selected for this study is compatible with the selected paradigm. The interview process involves conversations between the interviewer and the interviewee, which lead to the understanding and creation of reality. The construction of this reality is informed by study contexts, research questions and the interactions between the researcher and the participants. This study sought to understand how participants construct knowledge in their daily activities; specifically, it also constructs how good governance is being implemented in the implementation of food security programmes.

In qualitative research, study participants and material are purposively selected, based on their relevance to the research questions and research problem. The Executive (Chief Directors), the Top Management (Directors), Deputy Directors, Control Agricultural Development Technicians, Chief Agricultural Technicians, and Food Security Workers of the DRDAR were specifically selected to participate in the study, based on their ability to answer research questions central to the study. The Department of Social Development and the Agri-SETA and local government officials involved in food security within the District, also participated in the study.

Qualitative research uses a human “instrument” and is exposed to subjectivity, as opposed to natural science research (Mohajan, 2018). Secondly, it is influenced by the research context. The human instrument utilises more tacit knowledge than it does propositional knowledge and

uses methods suitable to human instruments. Data gathering techniques used in qualitative studies include observations, interviews, document analysis, ethnography, to name a few. Semi-structured interviews were used in this study. A qualitative inquiry is implemented through purposive sampling, inductive methods of data analysis (which iterative and continue until data saturation is reached). Purposive sampling involves the selection of research material and participants that are best placed to provide research data necessary to enable the researcher to answer study questions. Once data saturation is reached, the study has achieved its objectives, and the theory has emerged.

Qualitative inquiries should strive to meet trustworthiness criteria, namely credibility, transferability, dependability, and confirmability, if their findings are to find acceptance amongst scholars. This inquiry is interpretive and involves the negotiation of findings with study participants.

In addition, this study is a case study conducted using qualitative methods. Case studies involve the study of contemporary research phenomena in their contexts. A case study approach is used when it is impossible to separate a study phenomenon from its context and thus studies a contemporary phenomenon in its real world-context (Yin, 2019). A case study can be qualitative, quantitative, or use mixed methods. This study uses a qualitative approach since the research questions can only be answered through this approach. A qualitative approach is used to provide the answers to the “why” and “how” questions that the study needs to achieve its objectives. A case study is influenced by the constructivist paradigm, which believes in subjective knowledge, and is an interpretive approach, with knowledge being created through the interaction between the researcher and the participants (Starman, 2013; Baxter & Jack, 2008). In addition, this study uses annual reports in order to gain a better understanding of the issues relating to the research phenomenon.

Gillham (2000) indicates that a case (as used in the case study) is difficult to define but attempts to describe it as follows: it exists within a specific point in time, is studied and understood within a specific context, is intertwined with its context and its boundaries cannot be easily drawn, and is a unit of human activity occurring within a real-world context. A case can be an individual, a group of people, an institution, or even a group of institutions.

According to Babbie (2011), a case can be a social aspect such as a lifestyle, a social interaction, or a social artifact. A case study then, is an inquiry conducted on any of the above in order to answer specific research questions. Case studies differ from other studies. Given the broad nature of a case, studies need to indicate what a case is and justify why such a case

is worthy of a scientific inquiry within a particular research context. It should also be stated why it is a case, and what it includes or excludes.

Bryman and Bell (2015) indicate that the difference between case studies and other studies is that case studies are centered in a bounded setting or system and that a case is an entity with a purpose and functional parts. These authors conclude that case study research aims to illuminate and thus provide an opportunity for an in-depth and unique exploration of the characteristics of a case.

Evidence is collected within the case setting in order to assist the researcher to answer research questions. Case studies use multiple sources of evidence and thus are able to compensate for the limitations of other sources. While some authors indicate that prior theoretical notions are often ignored in case studies since it is impossible to know which theories work best, until data is collected and a better understanding of the research context is enabled, this study adopts theoretical lenses which were used to guide the study. The study also allowed theory to emerge from data. Meyer (2001) indicates that the case study design allows for theoretical and conceptual categories to guide a research inquiry and data analysis, unlike other qualitative methods such as grounded theory and ethnography.

According to Tellis (1997), a case study is the most appropriate methodology when a holistic, in-depth methodology is required. It makes it possible to capture in detail the views of participants. The author further states that in other research methods, such as the experimental method, data collection and analysis conceal details that can only be brought to light through the case study which uses multiple data sources to reveal meaning. A case study, due to its rigor and flexibility, is important for theory development, programme evaluation and can also be used in developing interventions (Baxter & Jack, 2008). The authors further point out that little is known about how this methodology can inform evidence-based practice, decision making, and policy. This study contributes to informing policy and practice.

Case studies use multiple methods of data collection and analysis, theoretical approaches, and investigators. Further, they explore contemporary research phenomena within their contexts, using multiple methodologies to understand the research problems. Shoaib and Mujtaba (2016) indicate that problems within organisations are understood best when the organisational context, which is a source of these problems, is studied together with the research phenomenon. This study provides an opportunity to understand good governance in the implementation of food security programmes because it explores the phenomenon in its context.

In the case study approach, cases (which can be individuals, group of people, a document, a unit within an organisation or even the entire organisation, or an event) that are rich in information are selected and, as a result, provide a better understanding of the research phenomenon. A case study captures prominent and inherent aspects of organisational life. Case studies allow for the use of multiple cases, which allows for generalisations as a result of some form of replicability of research findings to other research settings (Noor, 2008).

Case studies, like other studies, are undertaken for a particular goal. Bassey (1999) indicates that there are four goals of case study research, namely theory seeking (i.e., inductive reasoning), theory testing (deductive reasoning), storytelling and picture drawing, and evaluative case studies. Even though the four goals were identified in case study research in educational settings, they appear at face value to apply to case studies in other research fields. Of the four identified goals, the one applicable to this study is "theory seeking." This is because there is currently no theory developed that could be tested as far as the study phenomenon in this context is concerned. The theory emerged from data. It is important to note though, that theoretical and conceptual frameworks were developed and guided the research process. With the emergence of new codes during data analysis, the conceptual framework was modified to incorporate these new codes.

A case study can be exploratory, explanatory, or descriptive. An exploratory case study can be used for developing research questions or hypothesis formulation at the pilot phase of the study; an explanatory method is used for studying processes in organisations; a descriptive method is used to describe processes within organisations (Noor, 2008). This study is a combination of descriptive and explanatory studies, as it aims to describe both processes, as well as to explain them.

Case studies, like any research approach, have received a lot of criticism from scholars. Some of these criticisms include that case studies lack generalisability, rigor, reliability and are less demanding than other methodologies. In addition, a case study is viewed differently by social science researchers; some view it both as a method and methodology (Miles, 2015), some as a methodology only (Meyer, 2001; Tellis, 1997), some as a method (Zainal, 2007), some as a study approach (Crowe *et al.*, 2011), some view it as a type of qualitative research (Starman, 2013), and some see it as a research design. The different views are likely to affect the conceptualisation and implementation of case study-based research and thus the interpretations of gathered data.

Despite many criticisms, case studies have several benefits. They illuminate research phenomena in a manner that cannot be achieved by other methods. Miles (2015) points out that the analysis and representation of practice as a result of case study research, together with the connections made by the reader as they link the case and their experiences, are powerful in informing educational practice. Even though the author states this within the context of educational practice, this assertion can be generalised beyond the scope of education.

Case study-based research can be quantitative, qualitative, or use mixed methods. This study is qualitative. According to Gillham (2000), qualitative research enables the researcher to achieve the following:

- i) To carry out research inquiry where it is neither practical nor ethical to use other methods, such as experiments, to carry out an investigation.
- ii) To conduct an inquiry in a situation where very little is known about the research phenomenon. Formal methods may be used at a later stage of the research.
- iii) To explore complexities that cannot be brought to the surface by other approaches, such as experimental approaches.
- iv) To gain a deeper understanding of a phenomenon taking place within an organisation or groups.
- v) To gain an understanding of a phenomenon from the perspective of participants.
- vi) To understand the processes impacting on certain research phenomena within organisations.

Qualitative research is used in a number of fields such as education, business, anthropology, sociology, management, and administration. It is instrumental in answering “why” and “how” questions that cannot be answered by other approaches. Qualitative research contributes to the understanding of meaning and processes, i.e., why certain phenomena happen the way they do.

Case studies aim to generate (inductive approach), test (deductive approach), modify, or even refute theory (Bryman & Bell, 2015). The aim of this study is to generate theory (using the inductive approach). Eisenhardt (1989) discusses in detail how case studies can be used to generate theory. He concludes that generated theory should exhibit parsimony, be iterative, logically coherent, and linked to data. Eight steps are outlined in this theory generation process, namely defining research questions and constructs; selecting cases (only those cases

that are necessary to further develop an emerging theory); developing data collection tools and protocols; data collection; data analysis (within and between cases); shaping a hypothesis; literature comparison, and closure (theoretical saturation if possible). Specifying theoretical constructs is seen as important in giving structure to the research process, especially in the earlier stages.

As explained above, case studies may be inductive (theory generating) or deductive (theory testing). In the case of deductive studies, priori constructs will be used, whereas inductive studies enable all constructs and associated theories to emerge from the study. The current study used priori constructs to guide the research but did not limit itself to the priori constructs; but utilised semi-structured interviews as a data collection method. Semi-structured interviews gave structure to the research but also allowed flexibility and the uncovering of new constructs. The researcher was aware that if the study was limited to priori constructs, an opportunity for an alternative, or even a better theory to emerge, would be missed. The emergence of new codes during data analysis contributed to theory development.

As mentioned earlier, case studies have received severe criticisms from scholars for a number of reasons, for instance, they are sometimes perceived as being less rigorous, are “easy” science and not generalisable beyond a particular case. The extent of the generalisation of research findings from a case study depends on the extent to which study contexts are similar (Lincoln & Guba, 1985). It is thus crucial that studies are interpreted and understood within the research context.

Yin (2014) expands on the work of scholars such as Lincoln and Guba and others, by identifying two types of generalisations applicable to a case study, i.e., statistical and analytic generalisations. Statistical generalisation, is based on inferences drawn from study findings generated from a sample that is then generalised to the whole population. This, of course, is applicable only when the sample is representative of the population, and when probability sampling techniques were used to select research participants. Statistical generalisations, are used mainly in surveys, as well as in the analysis of archival data. Yin (2014) warns of the dangers of making statistical generalisations from case study research, especially given that cases are not "sampling units" and are of a smaller size than be considered as being representative of the entire population. The author indicates that cases should be seen in the context of illuminating theoretical concepts or principles. Analytic generalisation, on the other hand, can be made beyond a particular case and is based on: i) corroboration, modification, rejection, or advancing theoretical concepts identified in the design of the case study or ii) new concepts identified by the study. Whether based on theoretical concepts identified in the

process of conducting a case investigation, or the design of the study, this generalisation will be at a conceptual level. The theory or theoretical propositions is the basis for analytic generalisation (Yin, 2014).

Yin (2014) examines the issue of generalisation beyond the current case and its related contexts, contrary to the opinion of Lincoln and Guba (1985), who hold that generalisation of case study findings should be limited to similar contexts. This researcher is of the view that certain aspects of the study may be context-specific and thus not generalisable, whereas others may be of general nature and thus applicable to other settings as well. This is applicable to theory as well as other aspects of the study.

Questions posed by this study can only be answered by a case study approach, as they are mainly on how certain phenomena are taking place. In most instances, case studies involve an event, a person, persons, an organisation or organisations. This study aimed to understand good governance in the implementation of food security programmes in the OR Tambo District and gathered data from several organisations to understand how they implement food security programmes. The study provides an opportunity to compare, contrast, and make a synthesis of food security governance within the OR Tambo District. Case studies typically focus on significant events. At face value, it may appear that food security implementation is not a major event and is too insignificant to warrant in-depth exploration, however, given that an estimated 1.5 million people inhabit the mainly rural OR Tambo District, that about 46% of households practice some form of agriculture, and that the District has a high unemployment rate (about 50%), it is the view of this researcher that food security programme implementation is a significant case that warrants in-depth exploration. The above section gave a detailed account of the qualitative case study approach followed in this study and will turn to the research design.

### 4.3. Research design

Sekaran and Bougie (2013) define research design as a blueprint of how data collection, measurement of research variables, and research data analysis will be done, as informed by study questions. Kerlinger (1973), quoted in Lincoln and Guba (1985), defines research design as developing a plan, providing structure and strategy for answering specific research questions, and controlling any variation. Further, he defines plan, structure, and strategy. In his view, a plan is an outline of what the researcher will do, starting with hypothesis development and practical implications, inclusive of data analysis. A structure is defined as a specific outline, the scheme, and the paradigm influencing the operationalizing of study variables. Lastly, a strategy is defined as being more specific than a plan. It includes the type of methods to be used in data collection and analysis, how research objectives will be achieved, and how problems encountered in executing the research will be addressed. The above discussion highlights the importance of research questions, data collection strategies, structure, and strategy in shaping research and in enhancing the opportunity for achieving research goals.

This study explored good governance in implementing food security programmes in the OR Tambo District, Eastern Cape. Qualitative research design is used in the study. Qualitative research design is generally associated with data collection methods such as interviews, ethnography, participant observation, focus groups, collection and analysis of texts and documents (Bryman & Bell, 2015).

Semi-structured interviews were used in this study. Semi-structured interviews are used when the type of information that is required to answer research questions is already known. The method has the advantage of some degree of flexibility, compared to structured interviews, while also allowing for new information during data collection.

In qualitative research, study participants and material may be purposively selected, based on their relevance to the research questions and research problem. Chief Directors, Deputy Directors, Assistant Directors, Control Agricultural Development Technicians, Chief Agricultural Development Technicians and Food Security Workers (see the list of respondents on page 83) of the DRDAR, Department of Social Development officials (Deputy Directors, Community Development Workers, Assistant Community Development Workers) involved in food security, the Agri-SETA Assistant Director, and local government officials (Deputy Directors, Assistant Directors, Skills Development Coordinators, Community Projects Officers) involved in food security were specifically selected to participate in the study, based on their ability to provide information central to the study. Material such as annual reports,

especially of the DRDAR, that were seen to be relevant, were also used to check information, to understand the issues better and thus contribute to answering the research questions.

#### 4.4 Sampling strategies

There are two sampling strategies used in social research: probability (random sampling) and non-probability sampling (non-random sampling). Qualitative studies use non-probability sampling. Research questions and study context influence the selection of a sampling strategy. It is vital that an appropriate sample and size are used if the research aims to generalize results to the entire population. In qualitative research, however, the intention is usually not to generalise research findings to the entire population, but rather to understand the research problem and questions better. To achieve this, the researcher purposively selected participants that were best placed to provide answers to the research questions. The selection of an appropriate strategy is essential for the attainment of research goals and presents the following advantages to the researcher, namely cost reduction, improved flexibility, efficiency, and accuracy of research findings (Lotham, 2007). In this study, it was not possible to use a probability sampling strategy because of the small size of the sampling frame. In addition, the study aimed to reach an in-depth understanding of the research phenomenon, and generalisation was not the main focus. The study used a non-probability purposive sampling strategy, specifically purposive criterion sampling. The aim of purposive criterion sampling is to select individuals and material that meet specific criteria and are thus best placed to contribute to a better understanding of the research problem and to provide answers to the research questions (Creswell 2014; Acharya, Prakash, Saxena & Nigam, 2013). The strength of purposive sampling is that it enables the in-depth study of *information-rich cases*. Information-rich cases are those cases that provide the greatest opportunity to learn about the research phenomenon and thus illuminate research questions (Patton, 2002).

Chief Directors, Deputy Directors, Assistant Directors, and Control Agricultural Development Technicians, Agricultural Development Technicians (Extension Officers) of the Department were selected to participate in the study as they are best placed to provide data on governance in DRDAR. Department of Social Development Deputy Directors, Community Development Workers, Assistant Community Development Workers, and local government officials (Deputy Directors, Assistant Directors, Skills Development Coordinators, Community Project officers) involved in food security, and an Agri-SETA official participated in the study.

The study interviewed purposively selected participants and collected qualitative data. The principle guiding qualitative data collection is to continue with data collection until data saturation is reached (Creswell, 2014). Given the complexities associated with stakeholders'

diversity, a minimum number of interviews needed to be conducted with each set of stakeholders. The DRDAR has about 3,500 permanent employees and is a major role player in the pursuit of food security objectives in the OR Tambo District. It was initially planned that a minimum of 20 participants from the DRDAR would be interviewed, but the researcher realised that the number would have been insufficient, especially given that the DRDAR has offices in the five local municipalities making up the OR Tambo District. The study thus ensured that there was representation, both in terms of geographic coverage and the roles within the organisation. For each of the other stakeholder organisations, a minimum of five (5) interviews was initially anticipated for each institution, (the exception being the Agri-SETA which only has one official in the District). Interviews were terminated as soon as data saturation was reached (of course, considering the minimum number of interviews to be conducted for each institution). A breakdown of the study sample is given in Table 2 below. As can be seen in Table 2, the majority of study participants are from the DRDAR. This is because the DRDAR has the biggest footprint in food security in the OR Tambo District, compared to other role players.

**Table 2:** A breakdown of the study sample.

<b>Organisation</b>	<b>Number of respondents interviewed</b>
DRDAR	
Chief Director	2
Deputy Directors	5
Assistant Directors	2
Control Agricultural Development Technicians	3
Chief Agricultural Development Technicians	6
Agricultural Development Technicians	20
Scientists	6
Department of Social Development officials	7 (3 Deputy Directors, 1 Community Development Practitioner, 3 Assistant Community Development Practitioners)
Local Government officials	6 (3 Deputy Directors, 1 Assistant Director, 1 Skills Development Facilitator, 1 Community Projects Officer)
ETA	1
<b>Total sample</b>	<b>58</b>

#### 4.5. Data collection methods

This study used individual interviews as a data collection method. Interviews allow for construction of participants understanding of reality (Lincoln & Guba, 1985). Further, they involve asking open-ended questions of a limited number of participants (Silverman 2006). They tap into facts and knowledge about the specific research phenomenon under investigation. They are a negotiation of meaning between the researcher and the interviewee and are compatible with the constructivist paradigm (Mojtahed, Nunes, Martins & Peng, 2014) adopted for this study.

Individual interviews used were semi-structured and thus allowed for some degree of flexibility, openness, comparability, and generalisability (Cameron & Price, 2009). These types of interviews allow for the collection of similar types of information from each interviewee, enabling comparison, and have the additional benefit of providing some structure to the research process (Kallio, Pietila, Johnson & Kangasniemi, 2016). Further, these interviews allow the researcher to ask questions that are predetermined and open-ended and may be used for either an individual or a group.

According to Zaidah (2007), if interviews are used, the case study should demonstrate the following:

- i) That it is the most relevant method to answer study questions,
- ii) That it is guided by a set of procedures which should be appropriately applied,
- iii) Scientific rigor as applied to social sciences is adhered to,
- iv) The case study is informed by a theoretical framework,
- v) A trail of qualitative evidence is recorded and documented accordingly,
- vi) It should be the most appropriate method that can be used to collect both explicit and implicit data from study participants.

Semi-structured interviews were used as a stand-alone method. When used as a stand-alone method, they serve the following purposes: descriptive/confirmative, descriptive/corrective, descriptive/interpretative, or descriptive/divergent. The current study is descriptive/interpretive and aims at discovery.

Semi-structured interviews allow the researcher to narrow questions down to specific areas or topics. An unstructured interview may fail to bring out the themes necessary to answer research questions central to the study (Rabionet, 2011); semi-structured interviews provided an

opportunity for overcoming this limitation. Semi-structured interviews are used in most social research studies and lie between the unstructured and structured interviews (Cooper & Schindler, 2014). Semi-structured interviews use interview guides to enhance data collection. An interview guide provides the following benefits: it minimises variation between interviews, is more focused and thus allows the efficient utilisation of time, it facilitates analysis by making it easy to find and make comparisons between responses.

Interview guides determine topics or subject areas for further exploration and allow for probing and questioning, which allows for elucidation and illumination of the specific subjects (Patton, 2002). Interviews should be conducted systematically and should adhere to effective data quality control measures. This study strove to achieve that objective.

In data collection, the study adopted a bottom-up approach by starting at lower levels of the organisational hierarchy and working upwards. This approach made it possible to understand the main challenges impacting food security programmes firstly, from the point of view of lower-level employees, and progressively moving up the organisational hierarchy. The approach enabled the development of theory as it allowed easy identification of the areas of convergence and divergence of perceptions, and the practical realities of food security implementation. The initial theoretical constructs became more refined as the study moved up the organisational hierarchy. At the time of the study, the researcher had been working for one of the state agencies for a period of 13 years and made a choice to start with interviewing colleagues, prior to moving into other state agencies. The reason for this choice was to move from familiar practices to less familiar ones. The decision made it easier to identify areas of divergence and convergence in how food security programmes were being implemented.

#### 4.6. Data Quality Control

One of the main challenges facing qualitative research, is acceptability within scholarship, given its subjective nature. In order to overcome this challenge, it is important for a qualitative researcher to maintain high levels of quality control to ensure acceptance of research findings. This section provides a brief discussion of the data collection instruments, the theory behind data quality control, as well as the procedures that were followed in this study to ensure quality data collection and interpretation of research findings.

##### 4.6.1 Data collection instruments

The data collection instrument of the study was semi-structured interviews using open ended questions. An interview guide (see Appendix I) used minimised variation between interviews, allows focus and the efficient utilisation of time. Data was collected from 58 purposefully selected DRDAR, local government, Department of social development, and SETA officials involved in implementing the food security programme in the OR Tambo District. The officials included Chief Directors, Agricultural Development Technicians, Chief Agricultural Development technicians, Control Agricultural Development Technicians, Deputy Directors, Assistant Directors, and Community Workers, Skills Development Facilitator and Community Project Officer based in the District, sub-district or provincial office. These officials are directly involved in food security programmes and would provide primary data necessary to provide answers to research questions. The interview guide followed provided the structure, ensured that the same sequence of questions is followed and enabled in-depth exploration of food security and embedded governance arrangements.

##### 4.6.2 Theory behind data quality control

While it may be a less daunting task to achieve a better quality of quantitative research, the same cannot be said for qualitative studies. Data collection and interpretation in qualitative research especially, lend themselves to subjectivity, raising issues about the quality of the research. The latter is the extent to which the findings of the study are a true representation of reality, and the extent to which findings can inform practice. In conceptualising quality challenges associated with qualitative research, the literature focuses on three main aspects, namely validity, reliability, and trustworthiness. Achieving reliability in qualitative research may be difficult, in comparison to quantitative research, given the subjective nature of qualitative research.

In qualitative research, quality, rigor, trustworthiness, credibility, validity, reliability, and authenticity are some of the most used words, especially when it comes to the acceptance of findings within the scientific communities. According to Meyrick (2006), the extent to which

qualitative research is good, should be judged by its transparency and the extent to which it is systematic in all processes, ranging from the researcher's theoretical stance (objective and reflexive), process (methods, sampling, data collection), analysis, results and conclusions. The words quality, trustworthiness, credibility, and authenticity are almost always used interchangeably in qualitative studies.

James (2008) indicates that authenticity in qualitative research should not focus on validity and reliability, but rather on the trustworthiness of research that will have a meaningful impact on society. Some authors highlight two concepts, i.e., validity and reliability in the conceptualisation of the quality of qualitative findings. Validity in qualitative research refers to the degree to which research results are a true reflection of the research data gathered, and the extent to which results can be generalised or replicated to other research settings. Ways of enhancing qualitative research validity include word counts, the consideration of deviant cases, the use of triangulation, ensuring that the sample is representative of the population, and giving an in-depth description of the study (Sekaran and Bougie 2013).

Triangulation is the use of multiple methods to analyse qualitative data. Triangulation enhances the validity of research findings (Silverman, 2006). Lincoln and Guba (1985) point out that triangulation enhances the probability of study findings and interpretations being credible. In addition to enhancing validity through triangulation, the development of codes, themes, and categories, enhances validity through going back and forth between collected data, and seeking evidence to confirm themes (Braun & Clark, 2006). Peer debriefing is also one of the ways of increasing the validity of qualitative research findings. Peer debriefing is the process of the verification of data with colleagues. A comparison within cases, and even between cases, is also made so as to enhance the validity of the research (Eisenhardt, 1989). This verification could include categories and content.

Kassarjian (1977) states that the selection of categories and content used in qualitative studies has the potential to either enhance or reduce the validity of inferences made from research data. Having looked at validity, a brief discussion of reliability follows. Reliability is the extent to which data analysis can yield consistent results, even when done by different researchers, following the same process (Smith, 2008; Silverman, 2006). Lincoln and Guba (1985) and many other researchers, use the concept of trustworthiness, which is inclusive of both validity and reliability in assessing qualitative data. Baillie (2015) indicates that the trustworthiness concept is frequently used with reference to the quality of research but encompasses both rigor in the process of study and research relevance.

Rigor enhances the trustworthiness of the research (Marx, 2008). Lincoln and Guba (1985) define trustworthiness as the extent to which the researcher is able to persuade the audience that research findings are noteworthy and acceptable. They go further to indicate that four questions should be asked when confronted with the issue of trustworthiness of qualitative data, namely truth value (the extent to which the findings are a true reflection of the participants and the context); applicability (the degree of applicability of research findings to other contexts and study participants); consistency (the extent to which the research would yield similar results in similar contexts or with similar research participants) and neutrality (the degree to which research findings are determined by research participants and study conditions, and thus devoid of biases, motivations, perspectives, interests of the researcher). The researcher has striven to enhance trustworthiness in this research by ensuring that the basis for any interpretation is the participant's own words, triangulating respondents' views with annual reports, constant comparison of codes (within and between), and themes (within and across organisations). Participants' own words and diagrams generated from NVivo were used to better understand and explain the research phenomenon. This triangulation is meant to enhance the trustworthiness of the research findings and their acceptance.

Lincoln and Guba (1985) highlight the trustworthiness criteria that should be met for research findings to be acceptable to the scientific community. These criteria include credibility (including member checking, peer debriefing, negative case analysis, and referential adequacy); transferability (the extent to which the research can be transferred to other contexts by providing detailed description to enable other researchers an opportunity to decide whether the research can be transferable or not); dependability (establishment of reliability and validity, triangulation and "stepwise replication") and conformability (achieved by keeping audit trails, ensuring auditability of the research process, and agreement on audit outcomes).

#### 4.6.3. Achieving data quality within this study

This study ensured the trustworthiness criteria (as described by Lincoln and Guba, 1985) in how data was collected, analysed, and interpreted. There were constant checks of study results against collected data. Developed codes, themes, and categories were subject to constant review and modification, where necessary. Peer debriefing was done to ensure the quality of the analysis. Peer debriefing involves the researcher's work being evaluated by people working on a similar project (Krog, 2011). The study also applied multiple methods of analysing data; this increased the validity of research results. Records for data collection data and analysis were kept. It was, however, not practical for the study findings to be audited, as this was not a requirement.

Validity is the degree to which a measuring instrument measures what it is supposed to measure. Any inference made from a research tool should consider issues of validity and reliability (Kassarjian, 1977), who states further that the selection of categories and content used in qualitative studies, has the potential to either enhance or reduce the validity of inferences made from research data. By implication, the choice of codes, categories, and themes used, may compromise the value of inferences made from the research data. In the current study, all codes and themes generated were subjected to scrutiny to ensure that only what the data was saying, was captured. Codes and themes were only generated after familiarisation with the content, and there was constant verification of research data to ensure that the information had been correctly captured. Sekaran and Bougie (2013) indicate that validity in qualitative research differs from quantitative research in that it is the degree to which research results accurately reflect the research data gathered; secondly, results can be generalisable or transferable to other research settings. These authors conclude that methods developed to enhance the validity of qualitative research, include using word counts to support generalisations; consideration of deviant cases in the analysis of data and reporting; ensuring that the sample is a representative of the population; using multiple methods in the analysis of data, and giving an in-depth description of the research. In the context of this study, generalisation was informed by counts of words and segments of data, deviant cases were also considered, and multiple methods of data analysis (triangulation) were used to enhance validity. Codes, themes, and categories were checked continuously and revised where necessary to ensure that they were a true reflection of the transcribed data and to reduce researcher bias. Codes, categories, and themes generated were also checked continuously with the study leader and revised accordingly where necessary, further enhancing the validity of research findings. Generated codes, categories, and themes were also cross-checked with

research participants to confirm if the collected data was a true reflection of the situation, facts, and concepts and were amended or modified where necessary.

As stated earlier in this chapter, a case study approach has been used for this research. Case studies are used when it is impossible to separate the research phenomenon from the context in which the phenomenon occurs. In the case study, reliability is of the essence and includes recording and coding (Cameron & Price, 2009). This view shows the extent to which reliability and validity in qualitative research overlap.

Multiple methods of analysing data have been used in this study. The study allowed theory to emerge from the data, as much as it was guided by theoretical constructs. This has enhanced the validity of research results.

At the onset of the study, research questions were discussed with the study leader to ensure their relevance and need and to establish the study's potential to contribute to scholarly knowledge. Further, research questions were supported by relevant literature. The theoretical and conceptual frameworks which underpinned the study also supported the research questions. This was meant to ensure that the study could achieve the intended goals. The study's ability to achieve its goal was not only made possible by the formulation of appropriate and relevant research questions, but was also supported by an in-depth literature review and theoretical and conceptual frameworks underpinning the study.

Research questions were pre-tested with five participants to ensure clarity, as well as ensuring that the questions would contribute to a better understanding of the research phenomena. Questions with multiple answers were avoided, in order to avoid multiple interpretations. Value-laden questions were also avoided in order to avoid triggering emotional responses and possible bias (Sekaran & Bougie, 2013). To avoid multiple and sometimes confusing answers, double-barrelled questions were not used. Questions were slightly refined where necessary, especially in the earlier phases of data collection. During the interviews, questions were repeated to the study participants if necessary, to ensure the collection of relevant data. Where there was a misunderstanding of a question on the part of the interviewee, the question was clarified to ensure that the data collected was in line with the research questions.

Errors were avoided when gathering research data by listening to tapes, checking interview notes and ensuring that information as articulated by the research participants, was correctly captured; processing (validation); coding (checking codes against collected data) and capturing on the computer (verifying collected data against captured data).

Where probing was a necessity in order for research participants to have a clearer understanding of the research phenomena, it was done by taking into consideration research questions. Further probing was done in a consistent way and not in any way suggestive of any particular response, as this would have introduced errors (Bryman & Bell, 2015). Research participants were informed early in the data collection process that they should seek clarity on any question when necessary.

The researcher ensured consistency in how questions were asked of all research participants by asking questions in the same order for all participants. An effort was thus made to avoid interviewer variability which is an error that occurs as a result of the inconsistency of the interviewer when asking research questions or recording answers. Interviewer variability may be a source of error and contribute to reduced validity of research data (Bryman & Bell, 2015).

Transcription of research data and preliminary analysis were done at most, during the first week following the interviews. This was meant to ensure the early establishment of the need to refine research questions in line with the research problem; this was important, especially in the earlier data gathering stages.

In addition to the literature, and theoretical and conceptual frameworks, the study considered ethical issues necessary to ensure that research was done within acceptable bounds and practices. Ethical considerations were considered much earlier in the conceptualisation of the study. The study adhered to ethical considerations throughout, inclusive of the formulation of research questions, the literature review, and data collection and analysis.

Every effort was made to avoid researcher bias. Bias in qualitative research is about the inclination to a particular view or partiality. The researcher made an effort to avoid bias in all stages of the research process, because bias may influence the accuracy of sampling, data collection, data analysis, and the reporting of findings. In addition, bias may result in researchers ignoring deviant cases (Ogden, 2008). The researcher in this study avoided bias in all stages of the research process, including sampling, data collection, data analysis, and in interpretation of research findings.

All the above contribute to improving the quality of research. Like any other method of data collection in research, interviews have their strengths and weaknesses. It is thus important for the researcher to maximise the opportunity presented by the strengths of this data collection method, while at the same time limiting the impact of the weaknesses. This study compensated for the weaknesses of this method of data collection by letting the study leader evaluate the interview guide, and by piloting the study prior to data collection (to address the issue of poorly

structured questions). In order to eliminate the weakness of poor recall, this study recorded the interviews so as to ensure that the researcher could focus on the interview process. In order to minimise response bias and reflexivity, the researcher probed the participants in order to identify any inconsistencies in responses and to validate generally accepted views. All the above were used to enhance the validity of the research data.

#### 4.7. Data analysis

Sekaran and Bougie (2013) outlined three steps to be followed in the analysis of qualitative data, and which were followed in this study. These steps include data reduction, data display, and the drawing of conclusions. Data reduction involves selecting, coding, and categorising research data. Data reduction is part of data analysis. It involves organising data in a way that sorts, sharpens, focuses, and discards data in a manner that allows for the drawing and verification of conclusions. Methods of data reduction include selecting and summarizing or paraphrasing (Miles and Huberman, 1994). Following the reduction of data, it has to be displayed to facilitate understanding.

Data in this study was analysed using thematic analysis due to its rigor and flexibility. Thematic analysis is a method used to identify, organise, analyse, interpret, describe and report data. Thematic analysis is also theoretically and methodologically sound and allows various ways of analysing data (Braun & Clarke, 2006). The flexibility of thematic analysis allows for multiple ways of identifying themes. It also provides an opportunity to capture detail and subtle meanings in a theme, themes, or data set.

The process followed in the analysis of qualitative data is firstly, transcribing the data, after which concepts are identified. A group of concepts is grouped into a theme. Themes are then grouped into categories. The researcher made an effort to explain the relationships between themes, as well as within each theme. Ryan and Bernard (2003) indicate that themes can be easily identified by identifying repetitions, transitions, similarities and differences, and by cutting and sorting. Other methods of identifying themes include finding keywords in concepts, linguistic connections, metaphors, missing data, and theory-related material. Having provided some form of a guide on identifying themes, it is crucial to ensure that the analysis of qualitative data is trustworthy.

This study used a thematic analysis approach to data analysis. Braun and Clark (2006) define thematic analysis as a method used to identify, analyse and report patterns (themes) within data. Opler (1945) defines a theme as dynamic affirmations finding expressions through behavior and actions; these expressions of a theme are a basis for its discovery. Theme identifications are a basis for thematic analysis. Thematic analysis may be deductive or inductive. Whereas deductive analysis is top-down, i.e., tries to fit themes into existing coding frames, inductive analysis does not aim to fit emerging data into existing coding frames, but allows for the emergence of new themes, sometimes not previously anticipated. Deductive analysis leans more towards the researcher's analytical and theoretical interests (Braun & Clarke, 2006).

This study was inductive as it allowed for theory to emerge from the interpretation of data. NVivo 12 for windows was used to enhance thematic analysis. NVivo makes it possible to handle large volumes of data and also to make comparisons within and across cases, much easier to handle. Great care was taken to ensure that the use of the software is an analytic process rather than a mechanical one. Every comparison was made with a particular purpose in mind. Memos were developed as the study progressed. This made it possible to keep track of progress in theory development. Visual tools provided by NVivo made it possible to understand subtle similarities and differences of themes that would otherwise have been missed. The use of NVivo thus enhanced the quality of the analysis.

Following import into NVivo, data were coded using the auto code (automatic coding) facility. This function made it possible for each participant's responses to each question to be grouped. Grouping questions together enabled codes or possible themes to be obvious at a glance (this was the beginning of the analytical process). Memos about preliminary observations were generated and gave initial impressions about findings. The second phase of coding involved creating themes, as informed by the conceptual framework (detailed in chapter 3). The themes generated are organisational effectiveness, efficiency, responsiveness and accountability, coordination, planning, monitoring and evaluation, food availability, and access. In this phase, selected portions of individual interview extracts were coded into created themes. Some interview extracts were coded to more than one theme. The second phase of coding was more analytical. During the coding process, new codes emerged. Visualization tools available in NVivo allowed further exploration of the research data.

One such visualization tool is the word cloud, which gives a visual representation of dominant words. This assisted with the analysis as it provided an opportunity for further exploration of the words themselves, leading to codes and themes. The exploration resulted in the generation of more insights that would not otherwise have been possible. Each important word was explored further to have a better understanding of the themes. The creation of hierarchies in NVivo made it easy to display relationships between nodes. Some nodes were identified as parents, siblings, and some as children. Parents and child nodes can be aggregated. This aggregation gives an overview of a particular theme or code. Further exploration of child nodes generated more insights into the research phenomena.

Word frequencies enabled the identification of the most frequently occurring words, which would give an idea of possible codes and themes that could emerge. In addition to word frequency, word text search is another facility available to check the most frequently used words, which may provide ideas about possible codes and themes. Triangulation of themes, codes, and initial ideas from word clouds, word frequencies, and interview extracts improved the quality of the analysis and enabled the generation of more insights. This also reduced researcher bias.

Steps that were followed in the thematic analysis in this study are given below (as described by Braun & Clark, 2006):

Step 1: Familiarising oneself with data (involved reading of transcribed material such as interview transcripts over and over again; taking notes and reflecting on early impressions about data).

Step 2: Generation of initial code (involved the meaningful and systematic organisation of data); determining the type of codes to be made, e.g., NVivo codes (based on exact words of participants), or open coding (interpretive). The study started the analysis by using NVivo codes. This was done to get initial thoughts and ideas about the research data.

Step 3: Searching for themes (involved combining codes into themes. An observation was made that some codes are associated with one or more themes).

Step 4: Reviewing themes (involved the review and modification of themes identified in step 3; all evidence related to each theme was gathered; some themes were collapsed into one theme while other themes were broken down to form more themes; at the end of this phase, themes were evident, as well as how they fitted together in explaining the study phenomenon).

Step 5: Defining themes (identification of the essence of each theme and establishing the aspects of data captured by each theme; the study established how each theme fits into the broader discussion that is unfolding; sub-themes were identified, which provided structure to bigger themes as well as a hierarchy of meaning within data).

Step 6: Writing up (an effort was made to ensure the development of a clear, logical, and coherent report which should convince the reader of the worth of the study. Descriptions within and across themes, as backed by data extracts, were given).

Having looked at thematic analysis, a criterion for ensuring the trustworthiness of the analysis must be explained. Nowell, Norris, White, and Moules (2017) developed a framework for improving the trustworthiness of thematic analysis, at each stage of the data analysis. Components of this framework include peer debriefing, vetting of themes and reflexive journaling, keeping detailed notes of developments of concepts and themes, to name a few. The framework for improving the trustworthiness of thematic analysis was applied in the study to improve the quality of the analysis and, therefore, the extent to which the study findings can be generalised.

#### 4.8 Ethical Considerations

Ethics are standards or codes of practice guiding behavior and relationships. In the research context, ethical considerations ensure that no physical or psychological harm occurs and that the highest moral and acceptable standards are upheld (Cooper & Schindler, 2014). Cameron and Price (2009, p. 121) define research ethics as the interconnectedness of four facets of obligations, namely personal, cultural, professional, and legal. These facets should be considered and appreciated in research. In the current study, the researcher ensured that approval to conduct the study from the DRDAR, the Department of Social Development, local government, and the Agri-SETA was granted, prior to the investigation's commencement (see Appendix II for gatekeeper's permission letters); approval was also sought from the University of KwaZulu-Natal Ethics Committee (see Appendix III for the Ethical clearance). Participants in the study did so willingly, and were afforded the right to withdraw from taking further part in the research at any stage, without forwarding any reasons. The confidentiality and anonymity of study participants were maintained, and study participants were respected at all times. The researcher also avoided any form of bias throughout the research process, and maintained integrity in all aspects of the research, including literature review, study design, selection of participants, data gathering, analysis, and interpretation.

#### Summary

This chapter provides the methodology followed in attempting to answer research questions. It does so by providing the research paradigms, approaches, and research design, including sampling strategies, sample size, data collection strategy, data quality control, and data analysis. Ethical considerations of the study are also provided. Each aspect covered above was explained, its appropriateness justified and contextualised within food security policy implementation in the Eastern Cape. The next chapter will focus on the results and their discussion.

## **CHAPTER 5: RESULTS AND DISCUSSIONS**

This chapter presents the results and their discussion. It focuses on organisational performance (effectiveness, efficiency and responsiveness) and food security; the influence of accountability and governance approach to food security; the food security strategies of the DRDAR, local government and the Department of Social Development; coordination, planning, monitoring and evaluation in the implementation of food security programmes; organisational culture in the implementation of food security programmes, and the local context's influence on the decisions by implementing agents. Following discussions on each of the findings for the study themes, the implications of the results are highlighted. The chapter concludes with a summary.

### **5.1 Effect of organisational performance**

The study identifies three organisational performance variables necessary to answer research questions (in line with the conceptual framework guiding the study). These variables are effectiveness, efficiency and responsiveness. Due to the mutual relationship between efficiency and effectiveness, the two variables will be discussed together as part of organisational efficiency. The study, through thematic analysis, identifies themes relating to financial availability, food production processes, and administrative and political involvement, all of which relate to organisational efficiency in the implementation of food security programmes in the OR Tambo District. The themes are explored qualitatively by drawing on the perceptions of the respondents in each case. The challenges linked to the implementation of food security programmes are broadly linked to these themes. These themes are supported by the interview extracts and are discussed in some detail below.

#### **5.1.1. Organisational efficiency**

In this subsection, the study considers aspects linked to organisational efficiency, namely efficiency and effectiveness. These aspects include financial utilisation, production processes, administration and political involvement. State agencies implementing food security programmes should strive to achieve financial effectiveness. Financial effectiveness is the relationship between economic and social benefits derived from implementing a programme, and the effort made in implementing the programme (Mihaiu, Opreana, & Cristescu, 2010). Budget has to be available for the implementation of programmes and budget availability is one of the crucial requirements for any organisation if it is to meet the needs of its stakeholders. Without a budget and effective utilisation, stakeholders' needs will not be satisfied, as resources are needed to provide goods and services. In the context of this study, procurement of agricultural production inputs, machinery, equipment, and services all require a budget. This budget has to be utilised in an effective and efficient manner. A respondent, a key

informant at the provincial office of the DRDAR, in considering the effectiveness of budget utilisation states *“Yes, my yardstick will be limited to how the District is spending its budget and so from that perspective, it is achieving its target yes”*. The respondent views the DRDAR as being effective in terms of finance utilisation. This view might not indicate only effectiveness but efficiency as well. The above respondent believes that there is financial effectiveness in the DRDAR. Another other respondent, an Extension Officer at the DRDAR, has a different view of the DRDAR’s financial effectivity and states *“At the moment, we are wasting money – by spreading our resources thin. Providing seedlings to five wards instead of 49 would be more beneficial to farmers”*. The respondent above views the DRDAR as wasting finances. The respondent implies that the selection of fewer wards and better financial support would increase the impact of the programme and financial effectiveness.

The umbrella approach, referred elsewhere in this study as the blanket approach, pays no attention to soil analysis results in deciding which type of fertilizer to procure. This neglect of soil analysis results, impacts negatively on both efficiency and effectiveness. Efficiency is negatively impacted due to the non-consideration of soil nutrient status in the application of fertilisers. This practice also has implications for the effectiveness of programmes.

Another Extension Officer at the DRDAR, states that *“No, we are not using resources well; with the tender, inputs are bought at inflated prices, and delivered late and there is red tape. Documents are signed in different offices. When it comes to soil, we try, but some arable lands are not fenced”*. The respondent sees the tender process as a source of inflated prices and late delivery of inputs. He also raises red tape and inadequate infrastructure as contributors to inefficiency. Timeous delivery of inputs is crucial due to the seasonality of certain production activities. Late delivery of inputs impacts negatively on efficiency and effectiveness of production and the programme as a whole.

A Deputy Director at the Department of Social Development, states that *“We do check, but it is not always 100%; ...community members will always cheat and buy things that were never on the plan”*. The respondent uses the word “cheat” in expressing financial dishonesty by project beneficiaries. Financial dishonesty contributes to reduced financial efficiency and programme effectiveness. An Assistant Director of the local government, states that *“The controls that we have ensures that we don’t waste money because we just buy what we need at that given point in time. In addition, the procurement systems are adequate”*. The respondent views financial effectiveness as the avoidance of waste and also about purchasing what is needed at a specific time. Further, the respondent highlights the importance of controls

and procurement systems in ensuring financial effectiveness. The following paragraph briefly highlights the importance of ensuring effective production processes.

#### *5.1.1.1. Production processes*

Organs of the state responsible for food security programmes should ensure production process effectiveness. Production effectiveness is about how inputs (quality and type-specific) are combined in the production process (FAO, 2017). In this research, production effectiveness is at the production level, be it animal production, plant production or mixed farming. In highlighting this, a respondent, an Extension Officer at the DRDAR states that *“I think that we are not very effective at the moment. On the part of sheep production, I think we do not have camps and dams utilised by the animals for drinking”*. The respondent indicates the importance of infrastructure to support livestock production activities. In addition to infrastructure, the utilisation of production resources such as modern machinery, fertilisers, herbicide, insecticides, seeds, seedlings, and natural resources such as soil and water, all contribute to production effectiveness. In affirming the issue of production effectiveness, a respondent, a Chief Agricultural Development Technician at DRDAR, states that

*We are not wasting if we have known number of plants per hectare (by using modern planter), till soil to required depth and thus allow plants access more nutrients, use a fully functional boom sprayer to eradicate weeds and thus avoid competition for nutrients which could result in lower production yield.*

The respondent indicates the benefits of utilising modern agricultural equipment that is more efficient for agricultural production inputs and reaches better soil depth. The above emphasises how the efficient utilisation of resources can contribute to improved production effectiveness.

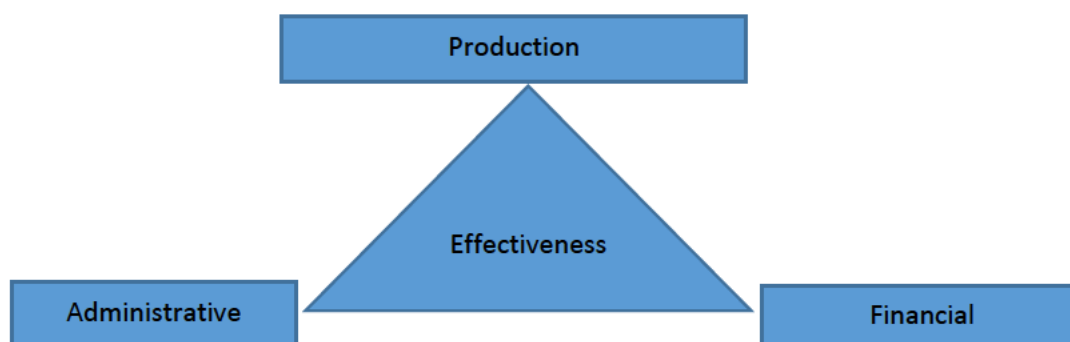
Another issue impacting on the effectiveness of production processes, is the issue of maize cultivars. Several study respondents cite the case of a seed cultivar that is susceptible to disease. One such respondent, an Extension Officer at the DRDAR, indicates the following: *“... we previously utilised a maize cultivar that was susceptible to late leaf blight disease but administration does not allow us to specify the desired seed variety but only characteristics of which cultivar is required”*. As correctly raised by the respondent, the government tender procedure does not allow room to specify the name of the seed variety, but only the characteristics. Some of the chosen seed varieties are not suitable in certain environments. The above discussion highlights the importance of responsive policy. Having looked at the production, the following paragraph briefly describes administrative processes.

### 5.1.1.2. Administrative processes

Administrative processes in support of food security or any other developmental intervention, must be effective. Administrative effectiveness is about the activities aimed at ensuring adherence to procedures in implementing programmes (Bakhsh, Saadi & Rasso, 2014). One critical role of the administration is to develop policies. The respondent below sees the current policy as a hindrance to achieving organisational objectives and posits that “*The current policy is not effective due to political interference during implementation which result in an increase in the number of hectares from 10-20 (to accommodate more beneficiaries) and thus reduced inputs per hectare*”. The respondent views effective policies as those based on freedom from political interference during implementation. The respondent’s view regarding political influence means that the respondent considers the separation of the politics from administration as an essential element of effective policy. Such an influence results in changes to the number of targeted project beneficiaries in a specific area to accommodate a much greater number. This change results in less production inputs given to project beneficiaries, negatively impacting production yield output and programme impact.

### 5.1.1.3 Themes of effectiveness

Figure 6 below indicates different themes of effectiveness in food security, as identified by thematic analysis. These are production, administrative and financial. Production effectiveness and efficiency depend on both financial and administrative effectiveness. Even though production effectiveness is dependent on the two, for food security implementation to be fully effective, production effectiveness has to be effective.



**Figure 6:** Themes of effectiveness in food security implementation in the OR Tambo District. In ending the discussion on these variables of effectiveness, the words of the following respondent, a Deputy Director at the provincial office capture the essence of effectiveness: “*I am saying that we need to arm and oil our machines so that they are ready to go and deliver and achieve the desired impact*”. The respondent’s words bring together various aspects,

inclusive of resources, personnel that should be competent, factors that can enable implementation, allowing the government to make a difference and an impact. Thus, the respondent highlights the multiple elements that should work together to allow for better service provision to the communities. Regular monitoring and effective feedback will improve effectiveness and efficiency (production, financial and administrative). The study will now turn to political involvement.

### 5.1.2 Political involvement

Political interference is the meddling of politicians in bureaucratic decisions. Political interference can be done for political and personal gains and may undermine public sector effectiveness (Rogger, 2018). The study establishes that political interference is more prominent during an election year, during which, programme procedures are overlooked. To affirm the issue of political interference, the respondent, an Extension Officer of the DRDAR, states that “... *there will be political intervention when it is time to vote. They must come with a plan detailing budget and activities, not do things in the last moments. In that instance, social facilitation is not done*”. Another respondent, a Deputy Director at the DRDAR, further highlights the challenge of political interference, and states that “*The Department has got scientists but political influence diverts funds to an area that is not suitable for production; and shift resources, the efficiency is lost or compromised*”. The respondent explains that areas that are not suitable for production are sometimes chosen because of political interference. This, according to the respondent, results in the shifting of resources to unsuitable areas. In certain instances, the above explains how political interference can result in reduced efficiency and effectiveness of food security programmes.

An Extension Officer at the DRDAR, states that “*Before the elections there is a political intervention where if a particular village supports the opposition party will get a service so that it can change to another political party*”. Political interference encourages wards that support the opposition party to “change” their allegiance. In certain instances, political interference results in the diversion of resources from target beneficiaries, sometimes to appease traditional leadership. An example of such interference is given by the respondent, a Chief Agricultural Development Technician at one of the Districts, as follows “*Maybe the MEC wants to visit a certain king they won't come empty-handed, they make a promise, so we have to utilise our budget that we didn't plan to use in a particular village*”. The above clearly points to a lack of separation of politics and administration. Mubangizi and Tshishonga (2013) point out that the separation between of politics and administration in an African context is challenging, as the two work hand in hand. The authors further state that the administration can only function if there is political commitment or support. They conclude that the absence

of political willingness will cause the failure of development projects, whereas political interference will hinder development and promote corruption in both administration and politics. There is abundant evidence pointing to improved delivery of services due to political interference under certain circumstances. On the negative side, political interference can negatively impact programmes' effectiveness if it is being used either for personal or political gain (Rogger, 2018). Rogger (2018) finds increased political influence on the bureaucratic processes to have an increased impact on project initiation and progress. The drawback is reduced project quality and increased pressure for the misallocation of resources for political gain. On the other hand, Gulzar and Pasquale (2017) find politicians' monitoring of bureaucrats as favorable for development, if politicians have internalized their electoral incentives. These authors indicate that the politicians' monitoring of bureaucrats will continue until the marginal costs are equal to marginal benefits.

Taniguchi and Kaneko (2009) investigated the impact of political interference on operational efficiency during the implementation of a rural electrification project in Bangladesh and found the political intervention to have a negative impact on efficiency. Bangladesh, just like South Africa, is a developing nation. An assumption can thus be made that the impact of political interference might have some commonalities. The study has thus far discussed organisational efficiency and will now turn to the third variable of organisational performance, i.e., organisational responsiveness.

#### 5.1.2. Effect of organisational responsiveness on food security

Literature reveals a plethora of definitions of responsiveness and finds that, in some instances, the definition is sector-specific. This lack of a common definition presents challenges for its measurement (Root, 2014). Andrews and Van de Walle (2013) state that responsiveness ensures that customers are “treated with respect and consideration by your local public services”. This captures how well local governments are meeting the personal expectations of service users. The definition stresses treating clients with consideration and respect while meeting their expectations. This study views responsiveness as being the ability to serve, and thus meet stakeholder needs. Within the study's context, the needs are for effective and timely agricultural service, inclusive of extension and advisory services, and the provision of mechanisation services and agricultural production inputs. This study did not specifically look at aspects such as respect and consideration (raised by Andrews & Van de Walle (2013) in isolation, as they were not included in the study objectives.

For the DRDAR, unlike the local government and the Department of Social Development, its ability to respond to farmers is even more critical, given that food security is its primary goal. Through thematic analysis, this study established the following aspects as impacting on responsiveness: resources (personnel and transport), challenges in accessing projects, procurement, partnerships, and a lengthy chain of command.

#### 5.1.2.1. Resources

Two primary resources cited by respondents as being critical for the successful implementation of food security programmes, are personnel and transport. The discussion briefly focuses on the two.

##### i) Personnel

The number of personnel, i.e. Extension Officers versus the number of farmers to be supported, affects responsiveness. In highlighting this issue of personnel, a respondent, a Deputy Director at the DRDAR, states that “*We can’t serve all stakeholders, due to shortage of personnel, here at Ngqeleni, 18 wards are served by 10 officials*”. The issue of personnel shortage is raised throughout the District. According to the norms and standards of the national Department of Agriculture (NDA) the proposed ratio of personnel to the farmers should be between 1250-1500 farmers to one Extension Officer (NDA, 2005). Table 3 below shows the proposed Extension Officer to farmer ratio. As shown in Table 3, livestock and mixed farming programmes could have a higher number of farmers supported by an Extension Officer, than crop farmers. Further, a higher number of “market commercial and large scale commercial” farmers could be supported by an Extension Officer (i.e. 1: 500). The extent to which implementation contexts inform the ratios is not known.

**Table 3:** The proposed Extension Officer to farmer ratio (NDA, 2005, p.11).

Scale of operation	Nature of operations/farming		
	Crops	Livestock	Mixed
Subsistence and households	1: 400	1:500	1:500
Semi-commercial	1250	1: 250	1:300
Market commercial and large scale commercial	1: 500	1:500	1:500

Liebenberg (2015) indicates that the extension personnel in South Africa in 2007 numbered 2155, with 623 Extension Officers from the Eastern Cape. Liebenberg gave no allocation of extension personnel per district. The number/ratio of personnel to farmers is essential since it is linked to the effectiveness of service provision. The number of personnel in all spheres of

government has been raised as one of the challenges facing food security in the OR Tambo District. Assuming this to be true, the issue can be exacerbated by lack of transport (also raised by the respondent) and poor road networks that impact on the accessibility of farming communities.

From the technical point of view, the DRDAR is well resourced with various specialists, including agricultural development technicians, scientists and engineers who are well placed to ensure responsiveness. Food security implementation in the OR Tambo District is driven by the DRDAR, which has partners such as Grain South Africa and the Agri-SETA. Further, the local government, through its constituted municipalities, has various initiatives aimed at addressing food security.

Lastly, the Department of Social Development has multiple programmes aimed at addressing household food security. The DRDAR supports the cropping programme (focused on maize production), household gardens, and livestock improvement programmes. The local government supports crop production (maize and vegetable) in the main. The Department of Social Development supports household food gardens and poultry programmes. The Department of Social Development and local government generally depend on the DRDAR for technical advice to the farmers. This utilisation of extension advice is vital since the Department of Social Development and the local government generally do not have in-house agricultural Extension Officers.

Reliance on the expertise of the DRDAR's expertise, adds value to the Department of Social Development's food security programmes, as well as those of the local government. The DRDAR, local government and the Department of Social Development are not the only role players in terms of food security implementation, but they are predominant and are thus the main focus of the study. The Agri-SETA is also one of the role players included in the study; however, given that it only has one official based in the province, the researcher found it difficult to do an effective analysis of the data gathered, or to draw meaningful conclusions on certain aspects. Grain SA, which is one of the strategic partners of the DRDAR was not included in the study although the researcher was aware that it would to some extent understand the role and impact of this strategic partner's programmes due to its relationship with the DRDAR.

Lastly, to limit the scope of the study and thus its impact, government departments such as the Department of Rural Development and Land Reform (DRDLR) are not included in the study. This exclusion is primarily because DRDLR focuses primarily on land acquisition which is not part of study's objectives.

ii) Transport

Transport is one of the main factors limiting the responsiveness of the government's spheres in the implementation of food security programmes. In affirming this reality, one of the key informants at the DRDAR's provincial office, states the following "*The shortage of transport is hampering visibility of officials to farmers which directly impacts the provision of services*". The respondent emphasises the shortage of transport that prevents Extension Officers from providing services to communities, and concedes that it is indeed a challenge. Limited transport, together with poor road conditions, are cited as some of the main constraints in implementing food security programmes. Exorbitant fuel costs and the maintenance costs of transport, and limitations regarding the kilometres allocated per official for travelling every month (1750km per month for DRDAR officials), all present challenges in implementing the food security programmes.

5.1.2.2. *Challenges in accessing projects*

Challenges linked to accessing projects are the distance between projects, as well as poor road conditions.

i) Distance between projects

Distance is a challenge for food security programmes' implementation, because of the geographical spread of the projects, due to the fragmented nature of landholdings. In the interview extracts below, the first respondent (extract 1) from the local government and the second from DRDAR (extract 2), highlight challenges linked to the distance between projects. The respondents, a Deputy Director at local government states that "*If you were to have ten projects, you but one person overseeing projects they cannot do regular monitoring often as it takes about 20-30km on a gravel road; you feel like that person is overstretched since they also have office work to do*".

The respondent highlights the limitations presented by the distance between food security projects. As alluded to, the distance between projects limits the number of visits and thus impacts negatively on responsiveness.

ii) Poor road conditions

The condition of the roads is one of the challenges faced by food security implementers in the OR Tambo District. To affirm this, the respondent, an Agricultural Development Technician at DRDAR states that *“The roads are “dead”. Everywhere you go around Mthatha, you cannot find a route in good condition that can take you everywhere you want”*. The respondent portrays a grim picture of the roads used to access projects, to the extent of calling them “dead”.

5.1.2.3. Procurement of goods and services

Procurement is cited as the biggest challenge facing the OR Tambo District's food security implementation. This phenomenon impacts all spheres of the government involved in implementing food security programmes. In highlighting the procurement challenge, one of the respondents, a Community Projects Officer at local government, states that *“We try to be timeous as the Department because we understand that the service or inputs we provide for food security programme are in line with the seasons, but the procurement section sometimes delays us”*. The respondent highlights the importance of considering the seasonality of food production, precisely because late procurement of food production-related goods or services impacts negatively on programmes.

5.1.2.4. Partnerships

Partnerships assist the DRDAR to be more responsive. Grain SA and Agri-SETA are some examples of strategic partners. The study finds that Grain SA, in particular, has been cited as having more impact than the DRDAR, which is unexpected given that the DRDAR provides funding to this strategic partner. A respondent, a Deputy Director in DRDAR, based in the Head Office, points out the following:

*The quality of maize of the strategic partner is better, the production is also better, up to about five or even six tons/hectares versus two to three tons/ha for farmers supported by our Department. The strategic partner has dramatically reduced the burden of commercialization on the Department.*

The respondent talks of the success of maize produced by farmers supported by the strategic partner (Grain SA which had a contract with the DRDAR to provide agricultural production-related services), versus those supported by the DRDAR. Since the respondent's observation was made on the maize fields, it was based on the perceived quality of the anticipated harvest. The respondent points out that Grain SA contributed to reducing the burden on the DRDAR in commercialising agriculture. As stated elsewhere in this thesis, food security in the Eastern Cape is twofold, namely household food production and the commercialisation intention. This respondent's views agree with the annual report of DRDAR in terms of partnership

contributing towards commercialisation (DRDAR, 2019). The strategic partner, Grain SA, contributes more to food production per unit area, given the better yields. The above discussion points to improved responsiveness as a result of partnership with Grain SA.

#### *5.1.2.5. A lengthy chain of command*

The number of officials who have to give approval before the procurement of goods and services, limits the responsiveness. The provision of technical advice is an exception, as it does not require any procurement. Given that the chain of command has been discussed at great length elsewhere in this study, not much detail will be provided in this section. The discussion above focuses on the influence of responsiveness on food security; it will now turn to accountability, the fourth variable of organisational performance.

## 5.2. Influence of accountability on food security

Through thematic analysis, this study establishes that accountability in food security implementation at the OR Tambo District can be classified under the following themes, namely technical, administrative, and financial accountability. These themes are supported by interview extracts.

5.2.1. Accountability at the level of service delivery, i.e. “technical accountability.” Extension Officers are directly involved with the farming communities as part of their daily work. These professionals have the responsibility of communicating programmes to farmers, mainly through meetings. They are also responsible for executing and monitoring programmes at local municipal areas and are accountable to supervisors and line managers. The line managers then report to the District Directors. This accountability structure applies to the DRDAR and the Department of Social Development. The local government, due to decentralisation, requires report mechanisms to the local municipality only. The Assistant Directors of the local government are responsible for implementing programmes under the Deputy Director's supervision; the Deputy Director is accountable to the Director. Overall, the directors are accountable to respective municipal councils.

The study reveals that technical accountability can be enhanced through regular monitoring and evaluation (M&E). The monitoring of food security programmes is done by Extension Officers based in the respective wards (wards comprising several villages). In affirming this, the respondent, an Extension Officer at DRDAR, states that

*I would say from soil preparation you should be there, planting, top dressing, crop estimates. We, as well as scientists do crop estimates. The M&E office is helping..., so they went to check if the bulls arrived. When shearing sheds were built, they went there.*

The respondent indicates that Extension Officers monitor planting until harvesting (in crop production) and the delivery of bulls as part of the livestock improvement programme. The study establishes that state agencies implementing food security programmes compile weekly, monthly, quarterly and annual reports as part of accountability. Municipal offices report to the District, which in turn reports to the provincial office. The study finds that there is no feedback regarding submitted reports. This highlights a big gap in the implementation of food security programmes.

#### 5.2.2. Administrative accountability

As expected from state agencies implementing public policy, accountability is mandatory. Reporting is the primary mechanism of accountability. Reports are compiled weekly, monthly, quarterly and annually. The DRDAR and the Department of Social Development, as can be expected, are accountable to the provincial parliament through annual reports. The Agri-SETA, as can be expected from a provincial office, reports to its national office. M&E form an essential part of administrative accountability for organisational performance.

The study establishes that the local government, the Department of Social Development and the Agri-SETA have no M&E offices, the DRDAR being the only exception. The M&E office of the DRDAR has limited capacity because it only has one official (at the District Office), and only monitors infrastructure projects. Regarding the food security programme's production aspects, the office only monitors reports, not the actual work. This researcher views the specific focus by the M&E office only on infrastructure projects to be one of the significant limitations of the implementation of food security programmes. As stated earlier, the Extension Officers of the DRDAR are responsible for the conducting and monitoring of the food security programmes. There is no monitoring by any third party, which could enhance credibility.

#### 5.2.3. Financial accountability

The Department of Social Development (i.e. the provincial office) deposits money into the account of the project beneficiary, who will then spend it from that account. Beneficiaries make a requisition to the District Office but they do not need approval to spend, as the money would already be in their bank accounts. Several challenges have been reported regarding accountability in terms of financial expenditure by project beneficiaries. One respondent, a Deputy Director at the Department of Social Development, states the challenges linked to accountability by project beneficiaries and puts it as follows “*Consequence management: these take time to be resolved, mainly when these involved people who have monies; there is no way you can recover that money*”. The above extract highlights a challenge with regard to

financial accountability, specifically, a lack of consequence management. The issue of consequence management is not limited to the Department of Social Development but cuts across state agencies. In further affirming this, the respondent, a Deputy Director at local government, states that

*Consequence management (in case of deviation from policy, practice, plans): there should be but not...the challenge is the type of the institution that we are working for; we work with politicians so at times consequence management is not being implemented to the fullest.*

The respondent is a local government manager and points out that the nature of the institution that she works for is such that consequence management can only be limited to a certain degree, at times. In the respondent's mind, the assumption made is that consequence management can only be done to a limited extent because of the involvement of politicians. It was not clear to the researcher why such an assumption is made.

The Department of Social Development is unique in following the selection and approval of projects; funds get deposited into the project beneficiaries' account by the provincial office. Depositing funds into beneficiaries' bank accounts has advantages but presents serious accountability challenges. One of the most significant benefits is that this system is free from intra-organisational procurement processes, delays and organisation-specific factors that cause undue delays. The negative side is that this system takes accountability from the state and gives it to projects. The projects have oversight structures in the form of governance boards. but consequence management still seems to be a challenge.

Figure 7 below affirms challenges concerning financial accountability at the Department of Social Development. As shown in Figure 7, the dominant words are “money”, “deposit”, “accounts”, “bank”, “spend”, “buy”, and “business”. All the above affirm that money gets deposited into the project's bank account. Beneficiaries are then expected to spend as per the business plan. Project members have to source quotes (“quotation” is another of the dominant words) before procurement (as shown by words such as spend and buy). The fact that project members can procure without necessarily getting approval from the Department of Social Development presents accountability challenges.





**Figure 8:** Internal control of DRDAR.

The Auditor-General made the following findings regarding internal control deficiencies of the DRDAR and stated that “*Management did not implement all the processes and controls required to ensure compliance with all laws and regulations. Non-compliance with legislation could have been prevented had compliance been properly reviewed and monitored*” (DRDAR, 2020, p. 160; DRDAR, 2019, p. 157). The above extract from the reports of the Auditor General for two consecutive financial years, i.e. 2018/19 and 2019/20, shows how the recommendations are not taken seriously. The key to these assertions is that there is no adherence to laws and regulations, which could have been avoided in the Auditor General’s professional opinion, had there been proper review and compliance monitoring.

This non-adherence to internal control mechanisms limits the effectiveness, efficiency, and responsiveness of the food security programmes. In the years 2018/19 and 2019/20, the DRDAR incurred an under expenditure of R80 595 million (3.2%) in the first year and an under- expenditure of R25,1 million in the second year. In 2019/20, the Farmer Support and Development directorate underspent by R14.7 million, with the Rural Development Coordination directorate underspending by R0.4 million (DRDAR, 2020). The Auditor-General has already provided recommendations on how some of the challenges can be overcome, i.e. regular review and monitoring of compliance (DRDAR, 2020; DRDAR, 2019).

#### 5.2.5. “General lack of accountability.”

This thesis notes a general lack of accountability in the DRDAR. This neglect of accountability is evident through the non-implementation of the standing committee's resolutions on public accounts, portfolio committees, and those of the Auditor General. For instance, when the DRDAR experiences over or under-expenditure, consequence management is hardly mentioned at all. This omission neglects the reality that the state should be accountable in utilising public funds and in pursuit of good governance. The DRDAR merely states steps to address under- or over-expenditure, which cut across chief directorates. Deficiency in monitoring has been cited as a challenge in the past two financial years, namely 2018/19 and 2019/20. This aspect of monitoring has been dealt with earlier in the section on internal control.

As indicated earlier, the DRDAR appears not to take seriously, or implement the recommendations of the Auditor General or those of the oversight structures' i.e., Parliamentary Portfolio Committee. This is evident in the recurrence of recommendations over consecutive years. The Portfolio Committee justifiably indicates that its recommendations are not implemented (DRDAR, 2019). It appears as if the DRDAR merely responds to recommendations but never seeks to implement such recommendations.

The DRDAR sometimes does not comply with procurement policies and regulations (DRDAR, 2019). This manifests in the flouting of internal control practices, discussed in detail above, and irregular and fruitless and wasteful expenditure. These are all part of the managerial responsibilities and governance arrangements of organisations. The Auditor-General observed that the DRDAR did not take steps to prevent the irregular expenditure of R4.6 million and the fruitless and wasteful expenditure of R1.3 million (DRDAR, 2020). The above deficiencies highlight the failure of the DRDAR management to exercise effective expenditure management. This thesis notes that there is negligible evidence of consequence management in the DRDAR. This failure of the DRDAR to hold to account the officials who fail to prevent irregular, fruitless and wasteful expenditure, negatively impacts the effectiveness, efficiency and responsiveness of the food security programmes.

Accountability presents a challenge in food security; this applies to the DRDAR, the local government and the Department of Social Development. With the Department of Social Development, the procurement of production facilities and inputs is done by project beneficiaries, following submission of requests to the District Office; however, the District has no control at all regarding the withdrawal of funds from the bank, as that is between the bank and the beneficiaries. The issue of accountability regarding the expenditure of funds has been discussed in great detail elsewhere in this study.

It appears that there is no way of ensuring that the DRDAR specifically enforces the corrective measures recommended. It is not clear why the executive management of the DRDAR is unwilling to hold those responsible for flouting administrative processes to account. This unwillingness opens itself to many speculations. It can be argued that a number of reasons could be the underlying causes of this unwillingness. Officials may be conflicted and therefore not impartial in decision-making and the execution of their managerial roles. This results in them turning a blind eye to some of the malpractices within the organisation. It could also be due to fear, which might result in no action being taken against malpractices. The above underscores the value of ethical leadership in programme implementation.

Given that the DRDAR is a highly politicized organisation, as has been alluded to by several participants in this study, it could also be that the politicians are themselves conflicted and thus not holding administrators to account. It can, therefore, be argued that the failure of accountability in the DRDAR could be due to the loss of accountability within the politics-administration dichotomy. Thus, the study can generalise that the collapse of accountability within the politics-administration dichotomy, may result in a lack of accountability within organisations, especially if there is no clear separation of politics and administration.

Agency theory states that agents may not always act in the interest of their principals. Within the context of the DRDAR, the agent may in certain instances act against the interest of the principal. The agents may be lower-level employees or even middle managers, the principals being the top, senior and executive managers. The politicians can also be the principals, with the executive management being the agents. If conflicted, the principal may not be able to hold the agent to account, resulting in no consequences at all for any administrative flaws. Acting in the principal's interest carries no negative consequences, even though such actions are not necessarily serving the common good but those selfish interests of political office bearers. This study argues that one of the reasons why the political office bearers may not be able to hold administrators to account, could be that they are conflicted and unable to exercise effective oversight and enforce consequence management. Lastly, it could also be argued that the politicians have no mechanisms to enforce compliance on the administrators. The study could not establish whether legislation, or policy, or legislation, is sufficient for the enforcement of consequence management on the administrators by political office bearers in the case of violations or non-compliance. The assessment of the adequacy of prescripts to enforce compliance was not part of this research's scope.

### 5.3. Food security implementation strategies

The DRDAR, local government and the Department of Social Development have programmes to address food security in the OR Tambo District. The DRDAR has a cropping programme (mainly focused on grain), vegetable production and livestock improvement programmes; the local government funds homestead food gardens, the provision of poultry and maize production (which in the context of the DRDAR is referred to as the Cropping Programme). Various local municipalities have unique programmes. Like the local government, the Department of Social Development provides support by providing seeds and seedlings to homesteads and also by providing poultry production inputs.

The study finds that various spheres of government adopt different strategies for food security programme implementation. Table 4 below provides comparisons and contrasts between the implementation strategies of the DRDAR, local government, and the Department of Social Development. As shown in Table 4, all the government spheres procure agricultural production inputs in Nyandeni and Mhlontlo local municipalities, besides procuring broilers, poultry feed, and medication for animals. When it comes to the funding approach for the Cropping Programme of the DRDAR, farmers contribute towards either mechanisation or inputs. The two spheres of government, namely the local government (through its constituted local municipalities making up the OR Tambo District) and the provincial Department of Social Development, provide 100% funding.

Regarding the procurement strategies, the DRDAR and the local government procure agricultural production inputs (seeds, seedlings, insecticides for household food gardens, animal feed, livestock, including poultry, sheep, cattle) and services (mechanisation services for land preparation, planting and spraying of chemicals linked to maize and vegetable production). For maize production, the DRDAR either procures production inputs or funds mechanisation. The local government has different programmes across local municipalities. This differentiation can be due to the demand for various services by stakeholders of the food security programmes.

When it comes to governance, the study finds that, contrary to decentralisation claims in modern governance, the DRDAR is highly centralised and relies upon the provincial office, especially when it comes to the procurement of food security inputs and services. As one of the respondents indicates, centralisation, especially when it comes to procurement, was taken back to the province because of undue delays. The respondent, a key informant at the DRDAR, in support of centralisation states

*Late procurement of inputs: we (as the Head Office) had to centralise that process because of that problem. It works better when we have these long-term contracts; though there were some challenges between the contractors here and there but the overall picture is good.*

The respondent concedes that procurement is a big challenge and that the Head Office decided to centralise the procurement process. Further, the DRDAR established contracts in attempting to solve the procurement delay. Even though there were problems between the department and contractors, overall, there was an improvement. The threshold for amounts that districts can spend without approval by the Head Office is R500 000; beyond that, the Head Office has to do the procurement. Like the DRDAR, the Department of Social Development is centralised, though to a lesser extent than the DRDAR.

The centralisation of processes by the DRDAR, even though viewed as a solution by the Head Office, takes away some of the District's responsibilities and might be counterproductive. It limits the Districts' officials' duties. This centralisation has not yielded the intended outcomes, as the Head Office has to secure contracts with external organisations to ensure timely delivery of inputs and mechanisation processes. This might result in cost escalation and also might reduce programmes' efficiency and effectiveness.

Local government and the Department of Social Development appear to be more flexible in their approach to programme implementation. This flexibility is evident in pursuing different programmes across local municipalities and changing strategies that are perceived as not yielding expected results. For instance, the Mhlontlo Local Municipality (LM) funds infrastructure projects, representing a shift from providing funds and agricultural production inputs. The Nyandeni LM supports the homestead gardens and funds individual projects for R30 000 each on an annual basis (six projects are financed annually).

The Nyandeni LM provides direct funding to individuals; unlike Mhlontlo LM, which supports only one infrastructure project for the whole ward because this is seen as having more impact than financing individual projects. The Inqguza Hill LM funds the maize production programmes with no funds transferred directly to beneficiaries, but paid to service providers responsible for mechanisation, planting and weed control. The King Sabata Dalindyebo (LM) does provide individual funding for agricultural production inputs such as fertiliser and poultry feed. The examples above clearly show that each LM executes programmes based on their unique situation and requests from the farming communities.

The DRDAR, local government and the Department of Social Development have programmes to address food security in the District. The DRDAR has a Cropping Programme, which focuses mainly on grain production, as well as vegetable production in the King Sabata Dalindyebo and Port St Johns LMs. It also has a livestock improvement programme, which provides improved breeds to communities to improve their livestock. Even though the DRDAR has focused on other aspects, such as fruit production and animal health, the study excluded these to have better focus and potential impact.

As indicated above, local government is highly decentralised. This decentralisation has both advantages and disadvantages. One of the benefits is that strategies can be changed when necessary. On the contrary, this might be difficult for an organisation such as the DRDAR, given its size and complex organisational structures and processes. When the Mhlontlo LM realised that one of their strategies was not working, it could change that strategy to another they saw as being better. This strategy shift is seen in the interview extract where the respondent, an Assistant Director in local government, who states that “*When we realised that programmes are not sustainable, we changed the project system to a programme, e.g. hydroponics by combining related projects per ward; as needed by beneficiaries*”. The above interview extract demonstrates the extent of flexibility of the local government in changing an implementation strategy. This might be a daunting task for the DRDAR, or even the Department of Social Development who are more rigid.

While the above might represent positive aspects regarding food security implementation, this should be approached cautiously and informed by evidence-based knowledge. The study establishes that the local government uses the DRDAR to support food security programme implementation. This kind of collaboration by spheres of government bodes well for food security in the District.

The DRDAR is guided mainly by the Food Production Policy and the Eastern Cape Economic Transformation Strategy, when implementing its food security programmes. Local government is driven by the Integrated Development Plan (IDP) and the Siyazenzela Agricultural Participation Programme (SAGRIPP) in the Mhlontlo LM. Table 4 below provides a summary of various food security strategies of spheres of government.

Major themes emerging from the study, namely funding approach, programme implementation approach, procurement strategy, and governance strategies, are highlighted. The types of documents informing policy implementation are also indicated. As highlighted in Table 4, the DRDAR is highly centralised, with the local government being decentralised and the Department of Social Development centralised. This centralisation of the DRDAR and the Department of Social Development is unusual for 21<sup>st</sup> century organisations.

**Table 4:** Food security implementation strategies of DRDAR, local government and the Department of Social Development.

	<b>DRDAR</b>	<b>Local Municipalities</b>	<b>Department of Social Development</b>
The nature of support	Fertiliser, seeds, animal feed, mechanisation* or livestock, and infrastructure (hydroponic tunnels, dipping tanks, shearing shed, irrigation systems)	Fertiliser, seeds, mechanisation (Ingquza Hill Municipality) Provision of hydroponics tunnels (Mhlontlo Local Municipality)  Fencing, irrigation scheme development (Ingquza Hill)	Seedlings, seeds & mechanisation or livestock (poultry broilers only in Nyandeni & Mhlontlo, Local Municipalities), Shearing equipment (KSD)
Funding approach	Farmers contribute money for inputs with the DRDAR paying for mechanisation; in some local municipalities, farmers pay for mechanisation, with the DRDAR paying for inputs	Farmers make no financial contribution by farmers to the programme (Ingquza Hill Municipality; 100-200ha of land funded annually, i.e. 100% grant funding )	Farmers do not contribute directly to the programme, i.e. there is 100% funding by the government.
Programme implementation approach	<b>The cropping programme (maize production)</b> Projects make applications for participating in the food security programme. The District's initial screening and selection will be done (including officials and farmer representatives) and submitted to the Head office for approval. Selected beneficiaries make payment to the DRDAR (for the cropping, i.e. the maize production programme)  The DRDAR will develop specifications and advertise tender for the provision of goods or services  Selection of the most favorable bidder will be made	Applicants make funding applications which the District then screens. Those selected will get funded. Direct funding: Sixteen projects funded for R30000 annually (only in Nyandeni Local Municipality).	Interested groups make application for funding Community Development workers and Assistant Community Development Workers develop business plans for interested groups.  The submitted business plans are screened by the District and submitted to the provincial office for consideration and approval.  Following approval of selected projects, the provincial office deposits money into beneficiaries' accounts

	<b>DRDAR</b>	<b>Local Municipalities</b>	<b>Department of Social Development</b>
	<p>Tender award to the successful bidder</p> <p>Successful bidder provides required goods and services</p> <p><b>Siyazondla Homestead Programme</b></p> <p>List of indigent households provided by the local government or the Department of Social Development</p> <p>The DRDAR will procure inputs (seeds, pesticides and fertilisers) following procurement processes; these will either be delivered to or collected by beneficiaries.</p> <p><b>Livestock Improvement Programme</b></p> <p>Not clear of the procedure followed in the selection of beneficiaries for rams, ewes, bulls or cows</p> <p>Tender advertisement, following response from service providers, successful bidder selected to provide livestock.</p> <p><b>Partnerships:</b> formalised and non formalised</p>	<p><b>Partnerships:</b> No formal partnerships</p>	<p>Once deposited, the funds will be spent to procure the items specified on the business plan following the submission of requests to the District office</p> <p>Household food security programme (supply of seedlings)</p> <p><b>Partnerships:</b> No formal partnerships</p>

	<b>DRDAR</b>	<b>Local Municipalities</b>	<b>Department of Social Development</b>
	Provides funding to some partners (grain SA, NWGA) who implements programmes		-
Procurement strategy	The DRDAR procures goods and services (mechanisation)	Local government procure goods and services usually with no contribution by the beneficiaries.	The Provincial Office of the Department of Social Development transfers money into the beneficiaries bank accounts, which -beneficiaries will spend following submission of relevant documentation to the District Office
Governance strategy	Highly centralized	Decentralised	Centralised
Documents/Policies/documents informing programme implementation	Food policy, Eastern Cape Economic transformation strategy		-

\*Mechanisation (within the context of food security implementation in the OR Tambo District) involves activities requiring the use of agricultural implements and machinery; these activities involve land preparation, spaying of chemicals, which can either be fertiliser, weedicides or pesticides. Beneficiaries of cropping programme (focused on maize production) would generally pay for mechanisation but may be given a choice to pay for agricultural production inputs instead.

As much as the DRDAR and the Department of Social Development are provincial departments, both have a District office (headed by the District Director and supported by administrative staff and technical staff) with offices in the respective local municipalities. Given this organisational structure and work arrangements, policies, programmes and services, it is unexpected that the DRDAR and the Department of Social Development should exhibit such high levels of centralisation. Further, the DRDAR uses a top-down approach in the main, which is surprising in a democratic state. The above confirm that institutional theory can explain some aspects of organisations. Institutional theory points to the reality that organisations' formal structures can be mere “*myth and ceremony*” (Meyer & Rowan (1977, p. 340), implying that structures and processes are generally not implemented in organisations. The above discussion explains various strategies used by spheres of government in implementing food security programmes. The next section attempts to explore how the governance approach above can be explained by theory.

As pointed out above, formal structures in organisations may function as “mere myth and ceremony”. In expanding on this, Meyer and Rowan (1977, p. 340) state that

*Institutionalised products, services, techniques, policies, and programmes function as powerful myths, and many organisations adopt them ceremonially. But conformity to institutionalised rules often conflicts sharply with efficiency criteria and, conversely to coordinate and control activity to promote efficiency undermines an organisation's ceremonial conformity and sacrifices its support and legitimacy. To maintain ceremonial conformity, organisations that reflect institutional rules tend to buffer their formal structures from the uncertainties of technical activities by becoming loosely coupled, building gaps between formal structures and work activities (Meyer & Rowan, 1977, p. 341).*

Meyer and Rowan's quote explains why some strategies, activities, policies, and programmes are not implemented. They further describe how, in certain instances, disjunctures between the formal structures and work activities are created. Meyer and Rowan (1977) also explain how the objectives of achieving efficiency, coordination and control are not realised. The above underscores the complexities in the relationship between formal and informal structures in organisations.

Earlier work on organisations, some of which laid the foundation for scholars such Meyer and Rowan, recognised that contrary to the popular belief in tight linkages, organisational elements are often loosely coupled (Weik, 1976). This disharmony creates difficulties in the implementing of work activities and programmes because weak linkages are a source of disjuncture. This study identifies disjunctures in a number of aspects regarding food security policy implementation. One such disjuncture is delayed processes, caused by the centralisation of policy implementation which conflicts with the general principles of decentralisation in modern governance. Other disjunctures are linked to the predominance of top-down, rigid structures which also conflict with the conceptualisation of 21<sup>st</sup> century governance.

Muthaphi and Rispel (2020) used qualitative research methods to investigate policy context, coherence and disjuncture in implementing the National Health Insurance Programme in Mpumalanga and Gauteng provinces. The study found that disjuncture or poor policy coherence results in frustration, confusion, and exhaustion, becoming a source of demotivation (Muthaphi & Rispel, 2020). Although the study's context is public health, the findings may also apply to food security programme implementation.

This study also identifies a disjuncture caused by political involvement resulting in deviations from developed plans. Non-communication, or the lack of justification for departures from original plans, cause further confusion and frustration among implementers of the food security programmes. It can also result in feelings of helplessness and frustration for farmers. Public trust may also be lost.

The above discussion focused on disjuncture at the operational level. There can also be disjuncture at the administrative level. Khanal (2010), investigated a school decentralisation programme in Nepal. The study observed variations between the vision of schools decentralisation, and the realities experienced in its implementation. The study concluded that addressing the disjuncture requires three things: accommodating diverse stakeholders' interests, changing the bureaucratic culture of government, as well as the contextualisation of policy in local contexts. The above findings can be generalised to other contexts within the public policy implementation discourse.

This section discussed food security implementation strategies and made attempts to create a link with the theory. The study now turns to coordination, planning, monitoring, and evaluation of food security programmes.

#### 5.4. Coordination, planning, monitoring and evaluation in implementation of food security programmes

This section discusses coordination, followed by planning, monitoring, and evaluation, of the OR Tambo District's food security programmes.

##### 5.4.1. Coordination

Coordination is central to organisational existence and is defined by Okhuysen and Bechky (2009, p. 463) as “*a process of interaction that integrates a collective set of interdependent tasks*”. The definition indicates that coordination integrates tasks, both within and outside organisations, especially given that organisations exist to provide goods or services to their clientele. Coordination can also be between units and the organisational structure (Dessein, Lo & Minami, 2019).

Within the context of food security implementation, coordination has an internal and an external focus. The DRDAR, the local government and the Department of Social Development are the leading role players in implementing food security programmes. They have to ensure that the internal processes necessary to pursue organisational goals are in place. The pursuit of organisational goals requires coordination between the managers responsible for providing extension and advisory services, and those responsible for finance and transport. Coordination is also necessary between the organisations' extension personnel, community development workers, assistant community development workers and the farming communities. At the strategic level, coordination is also essential between partners and funders.

At the District level, in the case of the DRDAR and the Department of Social Development, there are Directors, Deputy Directors, Assistant Directors, and Extension Officers responsible for implementing food security programmes. In the decentralised local government, there are Directors, Deputy Directors, and Assistant Directors responsible for implementing food security programmes in each of the local municipalities constituting the OR Tambo District. In the case of local government, the officials from the Assistant Director and above, are focused on food security programmes and local economic development. Coordination between spheres of government is done at local municipalities through the Intergovernmental Relations (IGR) forum. The IGR is a forum where the three spheres of government discuss development issues. In addition, the IDP Representative Forum discusses development issues and provides opportunities for any stakeholder interested in local economic development, including issues of food security, to participate. Both the IGR and the IDP Representative Forum are coordinated by local government officials in the respective local municipalities.

For officials to pursue food security goals, effective coordination has to be effective both internally and externally. This is because internal processes are essential, ensuring the pursuit of food security goals. In addition to internal processes, organisations have to provide good coordination between themselves, the farmers, providers of goods and services, partners, and other government spheres involved in implementing food security programmes.

Thematic analysis reveals that challenges within organisations implementing food security in the OR Tambo District, are internal and external. Intra-organisational (i.e. within the organisation) integration is about establishing linkages between functional areas and supply chain integration to respond to customer needs. On the other hand, inter-organisational coordination (i.e. between organisations) is about two or more organisations integrating activities to pursue a goal, task, or provision of a task (Carr, Muthusamy & Lee, 2008).

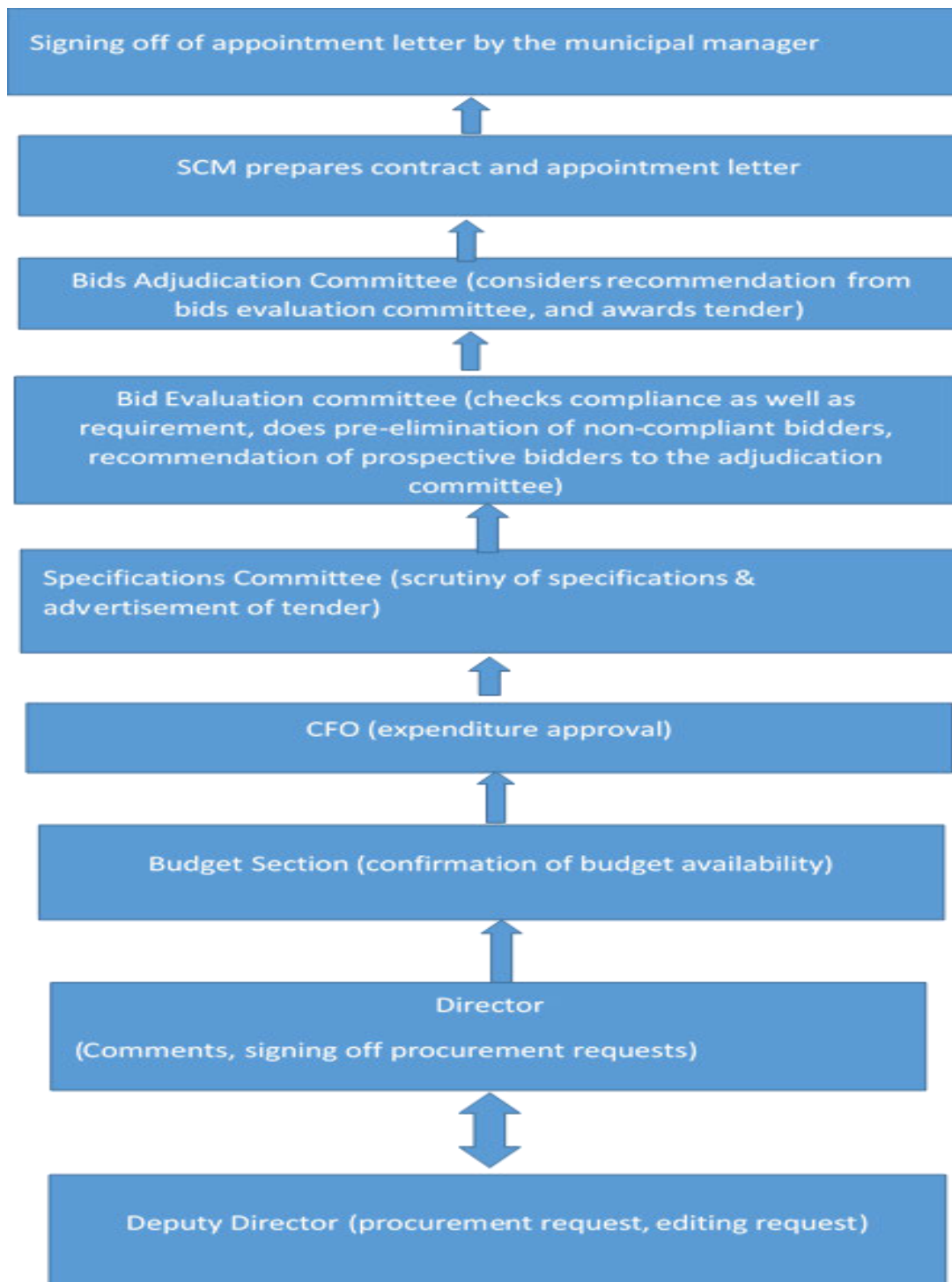
In the context of food security implementation, the OR Tambo District's inter-organisational coordination involves i) coordination linked to farmers and ii) coordination related to partners, iii) coordination linked to suppliers/providers of goods and services and iv) coordination between spheres of government, including national departments. Late delivery of inputs, which was raised quite extensively by respondents in all spheres of government, indicates coordination difficulties linked to internal processes within the organisation and service provider delays. This implies that both inter- and intra-organisational coordination should be effective for the achievement of organisational objectives. Besides, service providers should honour their obligations.

The study finds that the DRDAR, Department of Social Development and local government all face challenges regarding procurement processes. While this might be expected from the DRDAR, given the organisation's size, it is unexpected from the local government, especially given the local government's decentralised nature and the associated scope of decision-making powers. The study found the chain of command to be the primary source of delay in the procurement of goods and services across spheres of government.

The study finds that while the DRDAR might generally be seen as effective regarding the coordination of farmer activities, it is generally not effective regarding the procurement of goods and services, especially given the late delivery of production inputs. The study further finds that political interference has adverse effects on coordination efforts. When it comes to coordination, the main issue should not be about the extent to which coordination is happening well, but rather about the extent to which the goals of such coordination are achieved.

As far as farmers' coordination regarding food security programmes, the DRDAR and local government invest time and resources to ensure that the processes are coordinated. However, this investment appears to be limited by transport, especially when it comes to visits to communities for production and technical support. In emphasising the issue of transport as far as coordination is concerned, one respondent, a key informant from the DRDAR, indicates that *“Transport, ensures officials' visibility to programme beneficiaries. The shortage of transport impacts the provision of that service we are providing to the farming community”*. The respondent concedes that the “visibility” of extension personnel is limited by transport. The impact is even more critical for production activities as any problems that arise at that stage, can reduce or even result in, no production. This complexity shows that transport is a government-wide issue affecting the DRDAR, local government and the Department of Social Development.

In addition to transport, another challenge to coordination is the issue of tender advertisement. When it comes to tenders, the study finds a general delay in issuing the advertisements. The delays in advertising tenders and the resulting late starts to procurement processes, also negatively impacts coordination. The “go-ahead” for service providers to provide goods and services will be delayed. This delay will result in the late delivery of production inputs or any service procured. The procurement process is too long, especially when it comes to the local government and the DRDAR. A Deputy Director in local government, details the process of procurement of goods and services. The researcher developed a figure as per the discussion provided by the Deputy Director (see Figure 9). As can be seen, the procurement process starts with the Deputy Director and ends with a municipal manager's signature. There are three committees which the documents must go through. It is also important to highlight that the people who form part of these committees have important roles within the organisations, which might render them unavailable for sittings. This duality of roles means that there might be delays as a result of the unavailability of staff at critical moments. As explained by the Deputy Director, these committees can sit for a week, implying a loss of time for other activities.



**Figure 9:** Procurement process flow at the local government.

As can be seen, following the initiation of the procurement process, there is a back and forth movement of documents between officials. This chain of command is too long and opens the process to delays. The chain of command's length is not limited to the local government but also the DRDAR. In the DRDAR, documents have to move between the District and the Head

Office. In the DRDAR, procurement starts with developing a memorandum detailing the justification and motivation to procure goods or services. Following approval, the procurement process begins with the tender advertisement, inviting bidders to submit applications for consideration. The winning bidder will then be selected and given the go-ahead to provide goods or services. This procedure applies to all procurements over R30 000. Given the delays in the procurement processes, it is evident that internal coordination of the DRDAR, local government and the Department of Social Development needs improvement.

Coordination is generally perceived as being effective by most respondents; however, procurement is one of the biggest challenges in all government spheres. In response to the extent of effectiveness of coordination, one of the respondents, an Assistant Director at the DRDAR District Office, states that “... *technically inside, we coordinate effectively, but procurement policies may be a source of delays*”. The respondent highlights policy and his belief that his organisation is effective as far as technical aspects are concerned, yet not effective as far as the procurement processes are concerned. Whether this is true or not, it highlights the reality that the effectiveness of coordination in one section, should and cannot be generalised to mean the same for other units or sections.

The coordination effort should be consistent throughout an organisation. Agri-SETA, on the other hand, does not seem to be affected by these delays, probably due to a shorter chain of command. Given the chain of command when it comes to procurement of services, especially concerning the DRDAR and local government, it is clear that the coordination effort can be ineffective. Within this context, coordination should be considered in terms of the quality of the output and the timeous provision of goods or services.

Despite opportunities available for improved food production and security, political interference and limited transport negatively impact food security programmes' coordination. The study establishes that political interference results in programmes being implemented in areas that are not suitable for agricultural production. Feasibility studies do not inform these interventions. In addition to political interference, a lack of transport limits the number of visits to projects. This challenge is further exacerbated by the poor road infrastructure and geographical spread of projects resulting from the fragmented nature of land holdings, resulting in a loss of time on the road.



then do social facilitation. The social facilitation process involves introducing programmes to the “chief”, “ward councillor” (as affirmed by words in the above discussion). The word “must” (also dominant in Figure 10) is a strong word and it shows the importance of social facilitation in programme implementation. Notably, in the figure are the words ‘budget’, “decreasing” and “hectarage” (“hectarage” is a word coined by extension personnel to refer to hectares allocated in a particular ward, season, or district). The dominance of the three words above confirms that there is a reduction in the budget and hectares allocated during the season. This reduction undermines coordination efforts and public trust.

Through the coordination efforts of the DRDAR, the Department of Agriculture, Rural Development and Land Reform (DALRRD), purchased tractors for farmers. Initiatives such as this show the commitment of specific government sectors to partner in pursuing food security goals. Government has different initiatives to facilitate the coordination of programmes. Despite coordination being legislated, there are instances where various spheres of government appear to implement programmes without coordinating with other stakeholders; the respondent, a Deputy Director at the provincial office highlights this phenomenon as he states that:

*The Department of Social Development, have got similar projects with the National Department of Agriculture, COGTA and us (as previously referred). We have farmers double-dipping, i.e., farmers applying for assistance and benefitting from programmes of sister departments and claiming that the funding and programme are different.*

As highlighted by the respondent, the consequences of a lack or poor coordination might result in duplication of services which result in the same beneficiaries getting support from different government departments. Poor coordination, especially within government, is confirmed in the annual report (DRDAR, 2019). Poor coordination might also benefit the same farmers, which gives them an unfair advantage while also depriving others of much-needed support. The DRDAR has dedicated Extension Officers in the respective municipalities who coordinate programmes within that municipality.

Local government municipalities, due to their decentralised nature, do all their coordination within their respective local municipalities. The local municipalities are not accountable to the OR Tambo District municipality in any way concerning food security, but account to local municipal councils. This complexity regarding reporting is unexpected, especially given that the five local municipalities, namely Mhlontlo, Nyandeni, Port St Johns, Inqguza Hill and

King Sabata Dalindyebo, all make up the OR Tambo District. On the positive side, the local government's decentralised nature allows more responsiveness than that of other spheres of government. As stated elsewhere in this study, the DRDAR and Department of Social Development account to their respective provincial offices.

Effective coordination of programmes is essential in ensuring the best utilisation of available resources. Poor coordination between the DRDAR and the DAFF, and the DRDLR has been indicated as a challenge (DRDAR, 2019). The DRDAR committed to improving that coordination. The DRDAR and the DRDLR have already signed a memorandum of understanding (MOU). Only time will tell the extent to which the MOU impacts on improved coordination.

Good coordination is linked to stakeholder relations. It has become common cause in modern organisational practice that stakeholder relations are among the most critical aspects of organisational survival. In the interview extract below, a respondent details the complexities of poor stakeholder relations in service delivery. The respondent, a Production Scientist at DRDAR, states that

*... the ECRDA was unwilling to share information but need information from our reports. Farmers taking sides in favor of those service providers giving a particular service or goods. Coordination is 50% because the budget gets decreased by the Department without any explanation.*

The above might suggest that organisations should create a culture of inclusivity by involving people at lower policy implementation levels. The respondent articulates that this has resulted in stand-offs between the DRDAR and farmers and “stinginess” when it comes to sharing of information by the Eastern Cape Rural Development Agency (ECRDA). It is also evident that both organisations failed to clarify to farmers the role of each stakeholder. This thesis argues that organisations should invest resources in clarifying roles, as well as building relationships between agents responsible for implementing policy. This exercise will be beyond the scope of food security implementers, even though they should be mentored to develop the necessary capabilities in the long term. It is suggested that the scope of “social facilitation” be extended to include building better stakeholder relations.

The ability of state agencies to work together is essential if the food security programme is to be impactful. The study notes that there is, in certain instances a “silo mentality” among state agencies implementing food security programmes.

Interview extracts 1 and 2 below, highlight the issue of silo mentality. To affirm this, the respondents state that

Extract 1 from an Extension Officer (Agricultural Development Technician) at DRDAR

*Dismal failure, there is no coordination, mostly, everybody is working in silos, sometimes we even duplicate the farmers; we don't complement each other ... to the extent that wrong people get funds.*

Extract 2 from a Deputy Director at DRDAR, based in the provincial office

*The Department of Social Development, the National Department of Agriculture, COGTA and us (as previously referred) have similar projects, we end up having farmers double-dipping, i.e., benefitting from various government departments at the same time. The National Department also implements programmes in the Province without the knowledge of the Head Office.*

The first respondent (Extract 1), indicates poor coordination, evidenced by a silo mentality in how programmes are implemented, duplication of services, programmes benefiting those who do not deserve to benefit.

The second respondent (Extract 2), raises poor coordination and the duplication of services (both raised by the first respondent). The second respondent adds that the national government's implementing of programmes in the province, without coordinating with the provincial administration, leads to double-dipping, i.e. same farmers benefiting from different government departments. The above discussion highlights significant gaps in coordination with subsequent negative impacts on the effectiveness of food security programmes.

In summary, the silo mentality results in the duplication of services, programmes not benefiting those who are supposed to be supported, and double-dipping. It is inconceivable that the National department can implement programmes in a province without the province's involvement. The issue of poor coordination has been raised as a challenge in the annual report of the DRDAR (2020) and is discussed in great detail in this study.

Despite coordination at the local level, its effectiveness in sub-districts should continue through to the District and the province, if overall effectiveness is to be achieved. Thus, the effectiveness of coordination depends on the combined effort at all levels, i.e. sub-district, the District, the province, and sometimes national departments. The discussion has thus far focused on coordination and now turns to planning.

#### 5.4.2. Planning

Governments generally develop noble policies, however, the challenge is their implementation. Concerning food security planning, there is an almost equal split between those respondents who believe that planning is effective, and those who think that it is not.

Effective planning should consider internal as well as external dynamics. Internally, organisations should ensure that plans are informed by intra-organisational realities (including organisational culture, resources, processes, and approach to governance); externally, plans should also be informed by understanding the policy implementation contexts. Leadership is crucial in guiding organisations through the planning processes.

Planning regarding food security in the OR Tambo District appears to be fragmented and lacks the coherence necessary to make it more effective. Technical, administrative and financial components all plan, but there seems to be a missing link. It is not clear whether this missing link is the inability to reconcile the three components, as informed by both the implementation context, administrative limitations, and financial limitations, or the lack of a mechanism to integrate the different plans into one plan, which could be easily implemented. The annual report of the DRDAR (2020, p. 116) state that *“the linkage between planning, performance and budget allocation is lacking”*, which can be attributed to limitations in planning. This lack of integration, highlights the lack of effective integration in planning and the execution of programmes. The above extract is a finding of the Portfolio Committee and not necessarily acknowledged or raised by the DRDAR. Another issue raised by the Portfolio Committee is that of the DRDAR not setting targets based on the previous financial year’s targets. This disjuncture in the setting of targets is stated as follows *“There is no sequence in the manner in which the Department sets the targets, and the previous year’s targets and actual achievements are not considered as a baseline”* (DRDAR, 2020, p. 110). This disjuncture also points to inadequate oversight in the planning effort.

#### 5.4.2.1. Intra-organisational challenges

The intra-organisational challenges include changes to plans, resource constraints (production inputs, personnel and vehicles), communication challenges, the lengthy chain of command (when it comes to approvals), delayed decisions and unclear instructions, and the approach to governance.

##### i) Changes to plans

It appears that changes to developed plans are done, as and when the DRDAR wishes to do so. In highlighting this reality, two extracts from respondent are given below.

Respondent 1, an Extension Officer at DRDAR, states that

*Their planning changes, they change everything, e.g., if there is a new principal he/she will say that the report has to be done in the new format if it was already done.*

Respondent 2, also an Extension Officer at the DRDAR, states that:

*This year as a coordinator, I need 50 applications for farmers to be funded by the DRDAR forward 10, so that I can supply successful applicants with chicks or seedlings. The number of projects will be reduced several times during the season with no justification given by management.*

Respondent 1 laments the issue of change to plans at short notice and the associated inconvenience caused. She further points out that the change can happen when there is a new principal. Respondent 2 gives an example of a change in the number of projects supported without any management explanation. These changes undermine the planning effort and have the potential to impact negatively on staff morale and to undermine public trust.

##### ii) Resources

The issue of the late delivery of production inputs (which is linked to planning), highlighted elsewhere in this thesis, is raised by a respondent, a Deputy Director at the District office of the DRDAR who states that “*I think the Department needs to improve on this one; I think it is below 50% when it comes to food security planning; late delivery of inputs. It requires a lot of planning improvement*”. The respondent thus gives the DRDAR a below-average performance rating concerning planning. It is also important to note that the respondent only considered one aspect, i.e. late delivery of production inputs, as a failure concerning planning by the DRDAR. This phenomenon highlights the significance of the late delivery of inputs in the eyes of the respondent. Late procurement of inputs is usually attributed to the procurement process, even though a few respondents reject that. The late delivery of inputs has a knock-on effect on other processes and impacts production yields (this is discussed in great detail

elsewhere in this study). Another respondent, further highlights the lack of resources as a challenge to policy implementation. The respondent, a Deputy Director at the Department of Social Development, states that *“The shortage of personnel and vehicles limits coordination; hence the board, the management of committees, end up misusing the money. The government don’t replace an official who exit the system”*. Issues raised regarding resources limited planning by state agencies implementing food security programmes. The study has discussed resources and will now turn to communication.

iii) Communication

Communication appears to be another of the challenges impacting negatively on food security programmes. This is despite the state having various platforms for communicating its programmes. It seems that either information does not reach officials in time, or the information is not expressed clearly to the officials. In certain instances, officials lament the issue of the DRDAR publishing advertisements that are late, or even faulty. In extreme cases, officials indicate that information gets communicated through the social media platforms and reaches farmers before it reaches officials (this is discussed at greater length elsewhere in this study).

iv) A lengthy chain of command when it comes to approvals

The number of recommendations sought before approvals, delays the implementation of programmes. In the extract below, the respondent, a key informant at DRDAR’s provincial office, states that *“... the supply chain is dependent on how early we request services and goods. Now you are dependent on the recommendations, which are sent back and forth between many signatories”*. The respondent highlights the lengthy chain of command in the procurement of goods and services. All the above demonstrate limitations in planning. The issue of the lengthy chain of command has been raised and discussed at great length, as far as local government is concerned. This might be some indication that it could be a government-wide issue.

v) Delayed decisions

The study finds that there are instances when there are delays in decision-making by the leadership, especially of the DRDAR and the Department of Social Development. To affirm this, a respondent, an Assistant Director at DRDAR District Office, states that *“Some years guidelines and decisions were taken early by the top management on programme structure, procurement, and the amount of money to allocate per individual farmer or hectares to be*

*funded. As a result, by September, everybody had their inputs*". As the respondent states, some years, processes are started early, whereas the same does not happen in other years. This delayed decision-making in other instances, reflects some of the context-specific factors impacting on food security programmes.

vi) Approach to governance (i.e. centralisation or decentralisation)

The study, through thematic analysis, finds an approach to governance to be one of the main aspects impacting policy implementation in the context of rural development. Centralisation creates a disjuncture, as activities not planned for are often imposed on the District for implementation. The section has thus far discussed intra-organisational challenges and will now turn to inter-organisational challenges

*5.4.2.2. Inter-organisational challenges*

The context in which plans are implemented should be one of the primary considerations. For instance, the level of political interference, challenges associated with service providers and suppliers, and risks linked to farmers are all factors impacting on the implementation of plans that should be borne in mind if food security implementation is to be fully effective. These factors are briefly discussed below.

i) Political interference as a risk

Political interference has been cited as one of the biggest challenges facing food security implementation in the OR Tambo District and has been discussed in great detail elsewhere in this study. Political interference is a challenge because it results in the flouting of implementation procedures, the neglect of specialist advice and studies, and the increase in the area used for agricultural production, without a corresponding increase in the budget.

ii) Risks associated with service providers and suppliers

In addition to political interference, another risk is that of contractors not being able to provide goods or services in time. This can be due to unreliable agricultural equipment and machinery, insufficient or the scarcity of farm equipment and machinery, and production inputs. In highlighting the issues raised above, extracts from two interviews are cited (referred to as Respondents 1 and 2).

Respondent 1

*On contractors' issue, the challenge is that either you are being given three projects and the hectares allocated are more than what the equipment you have can accommodate, which leads to late planting, which affects the yield.*

Respondent 2

*The farmers must hire tractors and pay independently; the contractors are very scarce here in Port St Johns, so you find that they started ploughing very late due to the scarcity of tractor contractors.*

Respondent 1, an Agricultural Development Technician in DRDAR, highlights the problem of inadequate equipment and machinery, which impacts on planting times. Respondent 2 a Chief Agricultural Development Technician in DRDAR highlights the issue of scarcity (also shared by Respondent 1), as well as the working condition of tractors. The issues raised by the respondents above warrant consideration by the government in the planning as these are risks which, if not mitigated against, impact negatively on the food security programmes.

iii) Risk associated with the supply of unsuitable seed cultivars

There are policies that do not allow the organisations to specify the name of a preferred cultivar; they can only give the characteristics of the seed and say or “equivalent”. Seeds susceptible to fungal disease were procured due to the restriction on naming the preferred seed cultivars. This challenge is attributed to policy, as a result of poor planning by the state.

In ending this discussion on planning, the main elements must be highlighted, as depicted in Figure 11 below. As can be seen, words such as “inputs”, “late”, “budget” and “planning” are more dominant. This affirms that late delivery of inputs and the unending budget reductions, are signs of the inadequate planning alluded to by study respondents.



**Figure 11:** Word cloud of the variable “planning”.

As shown in Figure 11, “budget”, “resources”, “implementers”, “implementation”, and “yield” are also prominent. This combination of words focuses on planning and implementation and

shows the extent of the inseparability of planning and policy implementation. The discussion has thus far focused on planning and will turn to monitoring.

#### 5.4.3. Monitoring

The study establishes, through thematic analysis that the monitoring of food security programmes is done by extension officials who provide the extension and advisory services of the DRDAR as a service to farming communities. The study also establishes that local government and the Department of Social Development, generally depend on the DRDAR to monitor food security programmes. Transport and personnel however, are the main limitations to effective monitoring. These challenges are compounded by the lack of a monitoring tool. Together with a monitoring tool, there is a need for capacity building to ensure uniformity and standardisation of the monitoring process.

The quality of the road network of the OR Tambo District is generally poor, especially the roads linking villages. This inadequate infrastructure causes undue delays in project visits and limits the number of projects that can be monitored regularly.

The DRDAR's M&E office focuses on monitoring infrastructure projects but neglects the programmes' production components. When it comes to the programme's production component, the focus is on compliance concerning documentation and filing. This represents a missed opportunity in terms of data collection, which could be used to improve the programmes and the implementation. Figure 12 below is evidence of how monitoring is being done in the District. As can be seen, after 'monitoring', the predominant words are 'extension', "officials", "projects", "ward", "estimates", and "infrastructure". More production-related words such as "maize", "crop", "planter", and "germination" are also dominant. Summing up, the monitoring of projects is done by extension personnel who monitor maize crop planting and germination until harvest. They do crop yield estimates (the word 'estimates' is also one of the predominant words). The DRDAR's M&E office only monitors infrastructure projects. The word "infrastructure" also appears in Figure 12. Words depicting resources such as "officer/s" "vehicles" also appear Figure 12.



that the local government and the Department of Social Development do not evaluate their programmes and that the Agri-SETA does not currently evaluate its programmes. The study also notes that there is no evaluation tool for food security implementation in the OR Tambo District. The study has discussed coordination, planning, monitoring and evaluation and will now turn to organisational culture.

### 5.5. Effect of organisational culture on the implementation of food security programmes

This section discusses the culture of the organisations implementing food security programmes i.e. DRDAR, local government, the Department of Social Development and the Agri-SETA. Thematic analysis reveals important cultural elements of state agencies' organisational culture and that of the Agri-SETA. These elements will be discussed in the following order i) involvement of lower-level employees in decision making, ii) external versus internal focus, iii) flexibility versus rigidity, iv) following procedures, v) the extent to which the organisation is a family, business or competitive organisation and vi) the extent to which the organisations are learning organisations. Interview extracts are cited to affirm the identified themes.

#### 5.5.1. Involvement of lower-level employees in decision-making

The study finds that generally, the lower-level employees in DRDAR do not feel that they are involved in decision-making. In response to their involvement in decision-making, one respondent, an extension officer at DRDAR states

*Decisions are being taken and lowered to us; even if we don't agree, we should agree. I once attended a particular meeting at Mthatha, they answered rudely; I asked why they invite us if you don't need our opinion. I could see that they already have solutions, but they just wanted to play with our minds.*

The respondent points out that they are not part of decision-making because decisions are just "taken and lowered to them", whether they agree or not. In one of the meetings, the respondent failed to understand why they were invited if their opinions were not considered and concluded by saying that "*they just wanted to play with our minds*". This feeling of non-involvement in decision-making by lower-level employees applies to the DRDAR as the employees of local government, the Department of Social Development and Agri-SETA mainly believe that they are involved in decision-making.

On the contrary, the middle and top management of the DRDAR, generally believe that the lower-level employees are involved in decision-making. In affirming the involvement of lower-level employees in decision-making, a key informant at DRDAR's provincial office states that

*On the top-down approach raised by officials: No, it can't be like that as we are supporting farmers based in the local municipalities. The selection of project beneficiaries is done by the sub districts; who make recommendations to the District, which makes recommendation to the Head Office for approvals; this is the bottom-up approach.*

The study can accept that the issues raised, such as selecting projects, are initiated at the District level and only approved by the Head Office. The fact that lower-level employees generally believe that they are not involved in decision-making, points to the disjuncture in the DRDAR. It is also important to note that the respondent whose extract is cited above, only cites project beneficiaries' selection as evidence of lower-level employees' involvement. There is some evidence of lower-level employees' involvement in decision-making, including the fact that the lower-level employees select project beneficiaries and submit reports to the Head Office. It is not precisely clear why lower-level employees feel that they are not involved in decision-making. The lower-level employees probably need more voice than the DRDAR is currently offering. Another challenge could be communication down the organisational hierarchy. Thus, the DRDAR should assess its communication strategy to determine any disjuncture that negatively impacts information reaching all employees.

Further, the long chain of command that might limit communication and thus the realisation of involvement in decision-making should be reviewed. DRDAR could do well to develop effective feedback mechanisms.

The feeling of non-involvement of lower-level employees of the local government could result from the decentralisation of local government. Even though the Department of Social Development is centralised, its lower-level employees feel involved. These contradictions regarding involvement of lower-level employees in decision-making, especially those of the DRDAR, clearly highlight a need to improve on this situation. The reality that both the DRDAR and the Department of Social Development are both centralised, yet the lower-level employees of these institutions experience levels of involvement differently, might suggest that there are different organisational climates within these state organs.

Ijeoma and Mbah (2020) investigated the impact of employee involvement in decision-making and its impact on organisational performance. The study found a positive relationship between the two variables. Irawanto (2015) investigated the impact of employee involvement in decision-making on their level of motivation and found a positive relationship between the two variables. These findings underscore the significance of employee involvement in decision-making and motivation.

In earlier discussions, this study (please see Approach to governance (i.e. centralisation or decentralisation) highlighted that most lower-level employees of the DRDAR feel that they are not involved in decision-making. As confirmed in the literature one of the critical factors that determines employees' perception of involvement in decision-making, is the organisational climate.

Shadur, Kienzle and Rodwell (1999) investigated the impact of organisational climate on the perception of participation in decision-making. The study found that organisational climate has a positive effect on employee involvement in decision-making. Rožman and Štrukelj (2020) investigated the role of organisational climate on work engagements. The study found that organisational climate components, namely leadership, employee relations, employee commitment, employee satisfaction, and employee motivation do impact work engagement in medium-sized enterprises positively. The findings of this study also point to the need for organisations to strive to create a favorable climate for their employees.

#### 5.5.2. External versus internal focus

It seems that there is almost a balance between internal and external focus in the organisations implementing food security in the OR Tambo District. One of the respondents, a Deputy Director at DRDAR's provincial office, indicates the importance of having a good balance between internal and external operations, and using metaphors, states

*... we need to arm and oil our machines so that they are ready to deliver. In that way, we can impact if we have trained soldiers and have all the resources to go and implement, unlike other than look at the end state because enablers must be there impact.*

The respondent indicates the importance of having smooth internal operations, capable personnel and resources to make a meaningful impact. Other respondents view the government as being biased towards farmers. One such respondent, a key informant at DRDAR at the provincial office, states the following “*The Department is biased towards the farmers, you also have to maintain some balance with the internal because if there is low morale because there is the neglect of the employees, your clients will suffer*”. The respondent indicates that it is necessary to strive for internal stakeholders’ satisfaction as employees’ low morale will negatively impact service delivery. Another respondent, an Extension Officer at DRDAR, views the Department as being internally focused and states “*The Department focuses 80% internally then 20% externally*”. Very few respondents see the Department as internally focused.

### 5.5.3. Flexibility versus rigidity

The study finds that local government, the Department of Social Development, and the Agri-SETA are more flexible than the DRDAR. The latter is flexible in responding to disease outbreaks and natural disasters such as drought, but rigid when it comes to production inputs. Further, it is very rigid when it comes to the farmers it supports because it supports the same farmers over and over again, some farmers having been supported from as far back as 2008. The limited flexibility of the DRDAR might be linked to high levels of centralisation while the flexibility of the local government and the Agri-SETA, might be linked to their decentralisation.

Some organisations have flexible organisational cultures, whereas others have more rigid cultures. Organisational culture is a determinant of individual performance within organisations and, thus, of organisational performance (Odor, 2018). Further, flexible organisational culture has a positive impact on innovation capacities (Ramírez, Rivero, Beltrán, Álvarez, & Ramírez, 2017). Organisations should strive to create cultures conducive to performance and innovation. Given the more rigid culture of the DRDAR, it is more likely to be limited in its ability to innovate, while the local government and the Agri-SETA, on the other hand, are more likely to innovate due to their flexibility.

#### 5.5.4. Following procedures

The DRDAR generally follows procedures in implementing its programmes; however, there are instances where it deviates from these procedures. Such examples include the number of years it supports farmers, and instructions coming from the Head Office, or political principals at local municipalities. On the number of years farmers are supported, one respondent, a Deputy Director at DRDAR District Office, states that *“Yes, we do, but you will find other grey areas that the Department is not following procedures such as the number of years that the Department supports farmers.”* As stated by the respondent, the DRDAR does not follow procedure when it makes decisions about the number of years that it supports farmers. It is not clear why the DRDAR supports the same farmers over and over again.

Another challenge is the instructions coming from the Head Office political principals. In alluding to this, the respondent, an Extension Officer at DRDAR, states *“... we don't stick to the procedure because some of our decisions are politically influenced. You find that a person, due to their political party affiliation, is treated differently and given preferential treatment because of status”*. The respondent highlights political influence as resulting in deviation from the procedures followed in selecting project beneficiaries, referred to herein as “big fish”. This favoritism undermines procedure, and may impact negatively on staff morale and erode public trust.

Deviation from procedure is not limited to the District but to the Head Office as well. The Standing Committee on Public Accounts points out that the DRDAR did not follow the procedure in transferring funds to a public corporation and a public enterprise as they did this without the Provincial Treasury approval (DRDAR, 2020).

The Portfolio Committee found non-compliance with procurement policies and regulations (DRDAR, 2020). At the District, political interference in certain instances also results in the flouting of procedure regarding project implementation, in that feasibility studies are not done before project implementation. The overlooking of feasibility studies is a deviation from the norm and clearly shows that political interference fails to consider specialist knowledge regarding the suitability of the areas targeted for project implementation.

Local government and the Department of Social Development also deviate from procedure in the presence of political interference. For instance, the Department of Social Development receives instructions from the Head Office to fund certain projects without following procedure.

5.5.5. Extent to which the organisation has a family, business or competitive culture  
The study finds that the culture of organisations implementing food security programmes exhibits either a family, or business culture, or a combination of the two. An organisation that has a business culture is characterised as being professional, where things happen fast, where the focus is on service delivery and things have to be done right the first time. Organisations with a family culture are characterised as being more nurturing, and by the close bonds between members. This study establishes that local government and the Department of Social Development exhibit family-like cultures (although the Agri-SETA is said to be moving from a family to a business culture), while the DRDAR exhibits a combination of family and business cultures. In support of the DRDAR being a combination of family and business cultures, one of the respondents, a key informant at DRDAR, states that “*Entities come up with commodity or industry standards that guide you; it makes you to comply with standards, so it might be a combination of both family and business*”. The culture of being a “family and business” combination may not be surprising in the DRDAR, given its close links with farmers, strategic partners, providers of goods and services, and politicians. The DRDAR has to respond to all the needs of all these stakeholders. When it comes to the farmers, this should be about nurturing and support. In terms of strategic partners, politicians, providers of goods and services, it is about achieving specific goals and targets, which might require a more business-like approach. This observation might be interpreted to mean that the implementation context's demands might cause internal reconfiguration to enable a better response in certain instances. This researcher argues that the context in which the DRDAR implements its programmes, might be the main reason for its culture. This argument is in line with the institutional approach that points out that the external institutional environment, imposes constraints on the organisation and determines its structure, whether it will grow or decline, and determines its survival (Zucker, 1983). The argument is also fully supported by the contingency approach, which views the organisation as developing specific attributes in response to the external environment (Lawrence & Lorsch, 1967). The challenge the DRDAR is facing in the context of the above response from a key informant, is how to meet industry standards.

Having looked at the DRDAR, the discussion now turns to local government and the Department of Social Development. Both these institutions are more family-like. This culture could be due to the implementation contexts, given the OR Tambo District's rural nature. Most communities are resource-scarce and have to be mentored and supported to improve their livelihoods. This kind of support is appropriate as the communities are more reliant and dependent on the organisations for improved livelihoods. Given the highly politicized local

government and the orientation towards community development, it is to be expected that the local government's culture within this rural space would be more family-like. When it comes to the Department of Social Development, the fact that they are working with social issues within communities could mean that they are expected to be more family-oriented and thus exhibit a family-like culture. Again, this culture could be influenced by the context of policy implementation, as is the case of the DRDAR and local government. Following a discussion of the DRDAR, local government and the Department of Social Development, the study now turns to the Agri-SETA.

The Agri-SETA is moving from a family-like to a business-like culture. The respondent, an Assistant Director, states the following *“It is more business-like environment yes there have been changes, previously the organisation was adopting a family-like approach, but then now there have been changes, and it is developing to become business-like”*. This move from a family-like to a business-like culture results from the same policy implementation context as applies to the DRDAR, the local government, and the Department of Social Development. The study concludes that the demand from stakeholders could have triggered reconfiguration in the Agri-SETA. The following interview extract (from the Assistant Director) confirms this view *“They are flexible because you find that a training programme that was relevant in the past if the industry says that we are moving in this direction, we have to respond accordingly, we cannot, we are not static, so we respond to what is relevant”*. The extract above again confirms the institutional and contingency approaches discussed earlier. The institutional environment affects the organisation and thus impacts on how organisations are designed and run. Secondly, organisational responses are dependent on the prevailing circumstances, i.e., they are contingent.

#### 5.5.6. Extent to which the organisations are learning organisations

The study finds that both the DRDAR and the local government do invest in exposing their employees to new learning experiences, be they formal learning experiences or study tours. However, the study finds that, despite some respondents viewing the DRDAR and local government as being willing to learn, neither invests enough resources into ensuring that the lessons learned, are implemented to improve service delivery. Going back to the DRDAR, which is the central role player in implementing food security programmes, the study views the DRDAR as being best placed to use learning experiences to improve the quality of programmes. Given this position and the information at its disposal, the DRDAR could offer more improved services than it currently does. In addition, it is not clear why the DRDAR-supported farmers are producing less tonnage per hectare than the strategic partners that it funds. It is also unclear why the DRDAR still provides less than adequate agricultural

production inputs than the same strategic partner. The study further notes that the DRDAR fails to put into practice the recommendations of its specialists. The above discussion clearly shows that the DRDAR is not a learning organisation. One of the respondents, a Deputy Director of DRDAR, in response to the question about whether the organisation was a learning organisation, states that

*... when you try to be innovative, there will be barriers; they will ask you questions, they don't encourage you, which is a sign that they will never adopt new practices they say, we have been doing this for so many years. I used to say that at times, let us learn from other state agencies.*

The respondent strongly believes that the DRDAR is not willing to learn at all. According to her, this unwillingness is evident in the outright rejection of innovative ideas and the inability to take lessons from other state agencies which are providing better services. Resistance to change within this context is also a sign of the unwillingness to learn. Since the respondent is an employee of the DRDAR, it could be argued that the Department resists learning from the outside and the inside. While this idea might be contested, the reality is that the DRDAR has technical experts and administrators who are highly experienced, qualified and capable of transforming the agricultural sector beyond the District and province.

This thesis establishes that the DRDAR encourages partnerships and mentorships, yet there is very little evidence of the implementation of lessons learned from them. Such learning would greatly benefit food security programmes and the farming community at large.

Knowledge is key in establishing and sustaining 21<sup>st</sup> century organisations. The entrenched value of knowledge implies that organisations should enhance learning capabilities to ensure continued relevance in addressing societal problems. Learning is about obtaining knowledge and skills and developing dynamic, flexible organisations (Saadat & Saadat, 2016). Such organisations are better prepared to deal with the volatile business environment because of their adaptable capabilities, which may be a competitive advantage, especially in private sector organisations. Public organisations are not immune to the volatility imposed by the external environment. This volatility could be the result of either social, political or economic challenges. Organisations should be learning organisations in order to respond appropriately to changes in their operating environments. Learning organisations do not rely only on their executive managers, but utilise resources and skills to pursue organisational goals. In learning organisations, leadership is responsible for nurturing the organisational culture necessary to enhance excellence, ethical behaviour, knowledge sharing, and organisational learning. In such an environment, individual employees are motivated to share their skills by contributing

to organisational goals (Shin, Picken & Dess, 2017). The study finds very little evidence of knowledge sharing in the DRDAR, except for reports that get developed and sent to the District which then sends them on to the Head Office. There is never feedback from reports submitted to either the District or the Head Office.

Further, there is little evidence of an appropriate culture conducive to nurturing talent and skills, knowledge sharing, and organisational learning. The implication of the above is that the DRDAR seems not to effectively utilise its knowledge, skills and experience to benefit the food security programmes, despite it being well placed and capable of doing so.

Further, the particular economic challenges facing the developing nations, present challenges to the fiscus. As a result of limited budgets and resources in general, organisational reconfigurations to better utilise resources, are necessary. This reconfiguration requires organisational learning to enable a better response to the changes imposed by the operating environment.

This study focused on the food security implementation by the DRDAR, the local government, Department of Social Development and the Agri-SETA, however, insufficient information was available about the latter three to make meaningful interpretations and associated discussions concerning organisational learning. The DRDAR has partnerships but is unable to learn and incorporate best practices in implementing its programmes. The study thus concludes that, even though the DRDAR has the opportunity to learn from its partners, other government departments, and its capable, appropriately qualified personnel, this is not happening to the extent that it could. This constraint on the ability to learn can explain why, despite administrative, technical, and financial personnel, the DRDAR still cannot effectively and efficiently implement its programmes. The DRDAR should strive to transform to become a learning organisation. Once a learning organisation, the DRDAR will be able to take advantage of the wealth of knowledge generated through its programmes. A deliberate effort by the management and leadership is necessary in this regard.

This section has discussed organisational culture and its impact on the implementation of food security programmes. The study will now turn to the influence of local contexts on implementation decisions by implementing agents of food security programmes.

## 5.6 Influence of local context on implementation decisions by implementing agents

It is generally accepted that context affects policy implementation decisions. Tezera (2019) points out that organisational contexts, namely culture, politics, demographics, and the economy, influence how policy is developed and implemented and that the policy implementation process is a purposeful and multidirectional change process to put a specific policy into practice. The following have been identified as some of the contextual factors impacting on the implementation of the food security programmes in the OR Tambo District, namely approach to governance and administration, community dynamics, teamwork and sharing of resources, preferential treatment, political interference, and specific policy aspects.

### 5.6.1. Approach to governance and administration

Effective governance and administration are vital in ensuring public policy's effective implementation (Abas, 2019). Governance is about using power in meeting the needs of stakeholders (Keping, 2018). Administration is about the provision of services to the citizens. These services should be provided efficiently, effectively, economically, professionally and in line with principles of good governance (Matei, Matei & Lazar 2016). Literature shows that good administration is almost always interlinked, or nearly synonymous with good governance. A brief discussion of governance and administration approaches will be given, including centralisation and decentralisation (which are discussed elsewhere in this thesis), change in administration, the top-down approach, and the umbrella approach. All the above are linked to, and impact on the realisation of food security objectives.

#### 5.6.1.1 Centralisation of decisions

As alluded to elsewhere in this thesis (please see Approach to governance (i.e. centralisation or decentralisation), governance of the DRDAR and the Department of Social Development is centralised, while that of the local government is decentralised. The nature of governance has consequences on how decisions are made and communicated. One respondent, a Deputy Director at DRDAR, in the provincial office, states that

*There is always a spark (explosion) when it comes to that because, in general, the Districts view us as taking all the centralised decisions; there is always a disjuncture between provincial and District leadership because in most cases, we impose targets to districts so there is that disjuncture.*

In this extract, it is clear that the respondent acknowledges the disjuncture in the approach to governance between the leadership at the provincial and district levels. This disjuncture impacts negatively on policy implementation.

#### 5.6.1.2. *Change in administration following national elections*

The reality is that in the South African context, there is often a change in administration following national elections. This change results in new political leadership leading government, from the president, ministers, executive council members, through to ward councillors. These leaders are given responsibilities to implement public policies by their political parties. Change in administration impacts on policy implementation.

One of the respondents, a Deputy Director at the Department of Social Development, in citing the implications of a change in administration states “*When there is a change in administration due to popularity of food security, they come with a new approach and programmes which are unsustainable and die later.*” The respondent raises the issue of the change of programmes and discontinuity as a result of a change in administration. The respondent points out that food security programmes are targeted when there are political changes, because of their popularity. These changes might cause discouragement and loss of public trust among former programme beneficiaries and low morale among officials.

The respondent, an Extension Officer at DRDAR, raises the issue of changes to the reporting format if there is a new principal as follows “*They change plans; if we are doing monthly report using the format we have been using, if there is a new principal, we have to restart that report from scratch*”.

#### 5.6.1.3. *The top-down approach*

The study finds that the DRDAR generally follow the top down approach, even though some of the senior management team members believe otherwise. Those who disagree with this view, contradict themselves elsewhere concerning this phenomenon. One such respondent, a key informant at DRDAR, states “*Late procurement of inputs is one of the challenges. As the Head Office, we had to centralise that process. We have tried to have long term contract in the past three years to address that challenge of delays*”. The respondent points out that the Head Office had to centralise the procurement function due to of the delayed procurement of inputs. It can be argued that this decision by the Head Office is a form of the top-down approach, given that it takes away some of the District's crucial responsibilities. The second respondent also states that there are challenges regarding the delegation of authority and indicates that the lack of delegation results in senior officials carrying out the same responsibility as junior officials. This official, a key informant at DRDAR, states “*... a deputy director without any delegation, is like just conveying messages. Still, you don't have the power to implement several things before you get authorization elsewhere. Delegation goes with responsibility and accountability*”. The above also indicates the top-down approach by the DRDAR in that it limits, or restricts decision-making powers by its Deputy Directors who





### 5.6.2. Community dynamics

The study identified four dynamics that impact the implementation of food security projects, namely theft, conflict between traditional leaders and government employees and divisions between ethnic or clan groupings, and community animals grazing on maize fields.

#### i) Theft

Theft of the maize harvest can be problematic and can impact on food security programmes in certain instances. The respondent, a Chief Agricultural Development Technician at DRDAR makes suggestions on how to handle this problem when it occurs. He states that

*...any developmental programme should be introduced to the chief. Sometimes there are these thieves who steals produce, take him and go to the chief. Before you even call the police. The chief has a way of disciplining the wrongdoers (i.e. thieves who steal the harvest.*

The chief has the authority to discipline those who interfere with developmental programmes such as food security. The respondent highlights the importance of creating awareness amongst the traditional local leadership, regarding food security projects. The respondent points out that the people who interfere with production through theft, would be dealt with by the chief who has “a way of disciplining wrongdoers”. This practice is done before the police are called. The disciplining of wrongdoers might be context- and culture-specific. The extent to which this is widespread is not known and neither is the extent to which this serves as a deterrent. Theft is a police matter, but it appears that the local chief first handles the matter in some communities. These potential deterrents, if lawful, can assist in preventing unnecessary loss of harvest due to theft.

#### ii) Conflicts, standoffs, misunderstandings

There are instances where there is either a conflict, standoff or misunderstanding between different ethnic or clan groupings, or between traditional leadership and local government officials. These may cause undue delays in the programmes and might negatively impact production-related activities due to their seasonal nature, especially when it comes to grain production.

##### a) Conflict between ethnic or clan groups

The context of policy implementation may involve conflict between ethnic or clan groups that might present challenges regarding the coordination of programmes and public policy implementation. The respondent whose interview extract is given below, shows a glimpse of community dynamics. The respondent, an Extension Officer at DRDAR, states that

*...you arrive at a conflict situation that you know nothing about; between clans, or tribal authorities. When you call a meeting, you will see the segregation, you are trying to create harmony, but it is difficult. When you try to have a meeting with rival farmer groups, such meetings, there will be delays in progress and usually no consensus reached.*

The respondent paints a picture of policy implementation in an atmosphere where there is a conflict between clans, tribal authorities or farmer groups. The respondent concludes that the meetings in the presence of rival farmer groups are not productive at all. The response highlights some of the complexities that can arise during policy implementation. In her opening statement, the respondent points out that she arrives at a situation that she knows nothing about. This situation highlights gaps in terms of how public policy is implemented. This researcher is of the view that the state should take it upon its shoulders to assess the context of implementation and thus provide ways of diffusing, or at least devising strategies of managing, conflicts at the implementation level. The creation of a favourable environment, would enable the effective implementation of public policy.

b) Conflict between traditional authorities and ward councillors

Another respondent, a Chief Agricultural Development Technician at DRDAR, further highlights the issue of conflict in the implementation of food security programmes and states that

*the Department told me that I am supposed to collect the list of those farmers who were affected by that Covid 19 at Majola, but it was impossible for me to do so because of conflict between the chief and the ward councillor. Each between the two believed that it was their role to provide that information.*

The respondent paints a picture of the conflict that was triggered by request for information on his part. It appears as if there was a lack of role clarity; since both the ward councillor and the chief believed that they were the ones to provide the necessary information. There was a delay in accessing and processing information about farmers eligible for the Covid 19 relief grant. This example shows how, in certain instances, a lack of role clarity triggers conflict or standoffs, which might delay the implementation of a policy. This can be generalised to other aspects of public policy implementation.

iii) Community animals grazing on maize fields.

The issue of the lack of fencing in communities is a challenge. To highlight this challenge, three different extracts (by Extension officers of DRDAR) (Extract 1 to Extract 3 below) are

cited. These three give a picture of the complexity resulting from the lack of fencing within the communal grazing system.

Extract 1: *Sometimes, the infrastructure is not there. Farmers have to look after the cattle so that they do not graze on their mealie fields.*

Extract 2: *Fencing: they (livestock owners) control the animals during the day, but at night they don't.*

Extract 3: *The big challenge is that we were planting very late, i.e. December to even January, we were still planting and by May, people are starting to harvest; they (community members not part of the programme) then put their livestock (to graze in the fields) to affect those farmers who are participating in our programme.*

The first extract indicates that the animals have to be looked after to prevent them from grazing on maize fields. The second extract suggests that the community members look after their animals only during the day. This situation means that the animals graze uncontrolled at night. The third extract clearly shows why planting timeously is critical. The respondent indicates that other community members who are not part of the project, will let the animals graze on the project's fields before the harvest. All the above highlight the extent to which the late delivery of production inputs, and thus planting, can play into the hands of community members who are not part of the project and who will stop looking after their animals at a specific time of the year. These stray animals will reduce the effectiveness of food security programmes. All the above highlight the extent to which particular community dynamics can impact negatively on food security programmes. These complexities linked to community dynamics, emphasize the need for the DRDAR to ensure timeous delivery of production inputs as well as the importance of early decision-making, planning and the execution of developed plans.

### 5.6.3. Teamwork and the sharing of resources between DRDAR and the Department of Social Development

The impact of a lack of resources has been discussed at great length elsewhere in this thesis. This phenomenon, especially the shortage of transport and extension personnel, has contributed to officials finding ways to share resources. Sharing of resources benefits food security programmes in several ways.

Teamwork and the sharing of resources highlight good practices within the public sector. Initiatives such as these can help improve efficiency, effectiveness, and programme performance in implementing food security programmes.

#### i) Teamwork

The study establishes that employees, especially those of the DRDAR, turn to support from their colleagues in coping with job roles. In the following interview extract, the respondent, an Extension Officer at DRDAR, states that

*I set priorities as we are working as a team, I get some advice from others; if I have to call a meeting, I have to go with others because I cannot chair the meeting, write the minutes, take photos (as a means of verification). Maybe there is a conflict; I have to involve colleagues in solving it.*

The comment highlights the importance of teamwork in service delivery. The respondent states that if there is a meeting or conflict, she asks colleagues to assist with minute-taking and the taking of photographs to serve as evidence. This teamwork adds value to the programme as it brings different expertise, skills, and strength into the policy implementation effort.

#### ii) Sharing of resources

Resources, including transport, have been continuously cited as significant challenges facing the implementation of food security programmes. Similar to the above interview extract, where public officials turn to team members for support and assistance, respondents also share resources, even across government departments. In affirming this view, an excerpt from one of the respondents, a Deputy Director at the Department of Social Development, is given below:

*... when DRDAR officials are going out, we can go with them on their transport, for example, if they are going to Tabase and we have cases there, we can go with them. The Extension Officers are beneficial in this regard.*

As stated by the respondent, an official from the DRDAR is willing to travel together with officials from the Department of Social Development if they are going to the same place. This kind of sharing of resources contributes positively to programme effectiveness.

The above discussion indicates that in certain instances, the lack of resources in implementing programmes might result in officials finding ways of combining resources in pursuit of the public good. This might be generalised to other aspects of public policy.

#### 5.6.4. Preferential treatment

The study finds that there is preferential treatment regarding the selection of food security programme beneficiaries. In one of the interview extract, the respondent, an Extension Officer at the DRDAR, states that “... *our farmers have to make an application to receive a specific service but some people, because of their political status receive preferential treatment. This has negative impact on programmes*”. In this case, preferential treatment is clearly a result of political influence which can impact negatively on food security programme implementation.

#### 5.6.5. Political interference

Political interference is one of the challenges facing food security implementation and appears to be more pronounced in the District than in the provincial office. Political interference has several implications for food security implementation. These include, the implementation of programmes in areas that are not suitable, support for specific projects at the expense of others, support being given to non-deserving beneficiaries, and the increase in hectares utilised for agricultural production

##### i) Implementation of programmes in areas that are not suitable

As a result of political interference, food security programmes sometimes get implemented in areas that are unsuitable. In affirming this, the respondent, an Assistant Director at DRDAR, states that

*... when it comes to natural resources is that there is room for improvement because we are working in a politically charged environment, sometimes a politician will tell you that I want this thing done here. In contrast, as an agriculturist, you can see that this is not the right place for this.*

In certain instances, infrastructure projects, such as a sheep shearing shed, are implemented in areas that were not part of the initial plan.

- ii) Support for specific projects at the expense of others and support for popular programmes

According to one of the respondents, support for specific projects at the expense of others is seen in the support for crop production, instead of animal production. The respondent, a Chief Agricultural Development Technician, at DRDAR states that *“The Department has programmes improving livelihoods, namely grain or cropping programme, and Siyazondla (homestead vegetable production). The Department is not supporting livestock farmers to the extent that it could; due to political interference. They are politicising this programme”* In the view of the respondent whose extract is cited above, crop production is used to get political support at animal production’s expense.

- iii) Supporting of non-deserving beneficiaries

Political interference may, in certain instances, result in support being given to non-deserving beneficiaries. In affirming this, the respondent, a Deputy Director in local government cited in the interview extract below, states that *“I wouldn’t say we are very efficient, but sometimes our investment doesn’t reach the intended beneficiaries or we even fund those not meeting requirements of the programme”*. Benefiting people who are not deserving is a violation of the constitutional obligation of the right to food. Identification of beneficiaries by politicians, may not necessarily serve food security but instead, the politicians’ aspirations, as alluded to by several respondents in this study.

- iv) Forced increase in hectares utilised for agricultural production

There are instances where there is an increase in hectares used for production. The respondent, an Extension Officer at DRDAR, states that

*Our budget is well used except that when there is political interference, this happens every year. The politicians extend the hectares, but they do not top up the budget that we are already given. Yes, this results in reduced inputs per hectare and reduced programme impact.*

Increasing the hectares utilised for agricultural production without a corresponding increase in budget, results in reduced production inputs per hectare. This reduction limits the impact of the programmes because it results in a decrease in the yield.

v) Disruptions of plans and processes

In highlighting the disruption of plans and processes, the respondent, an Extension Officer at DRDAR states that “*You know, so every year we are changing plans and processes; hence, if politicians could adopt what we are doing, there would be much progress*”. The respondent sees the constant changes brought about by politicians as delaying progress. This researcher agrees with the respondent, that some form of stability is necessary and that constant disruptions of processes might delay progress.

#### 5.6.6. Specific policy aspects

The study so far has discussed some aspects linked to contexts and how those impact on implementation decisions. This section will be more explicit and will discuss the following: documents informing food security programmes; steps and processes followed in implementing food security programmes; the extent to which the food policy or directive is clear; the extent to which the food security policy or directive is effective in guiding implementation; the extent to which the food security policy states the problem to be addressed; the extent to which the policy states the objectives it seeks to meet; and lastly, the extent of political support for the food security policy.

i) Documents, guidelines, policy, pronouncements etc. informing the food security programme implementation

Food security implementation by the DRDAR is mainly informed by the Food Production Policy (FPP), the Eastern Cape Economic Transformation Strategy (ECETS) and the Livestock Improvement Plan (LIP). The IDP largely informs local government programmes. No document guiding food security implementation by the Department of Social Development has been made available for the study.

ii) Steps and processes undertaken in implementing the food security programmes (from the time there is a pronouncement through to implementation)

The information should generally travel from the MEC, to the executive, top management, Chief Director Coordination, District Directors, and the districts. The respondent, a Deputy Director at the provincial office, states the following “... *ideally, the information flows from the executive, top management, Chief Director Coordination to District Directors. At the District level, there are weekly management meetings*”. The respondent indicates that the procedure is followed under ideal conditions because the information will be from the executive then through to the districts.

An Extension Officer at DRDAR, states that “... *from the MEC, the message goes to the farmers or the media, and no steps are taken, so there is a vacuum. Delayed advertisement of programmes is also a challenge*”. The respondent states that the information travels from the Member of the Executive Council (MEC) to the farmers or the media, and thus in his view, there are no steps taken to communicate information down the organisational hierarchy. Within the Department of Social Development, the pronouncement also comes from the MEC, is cascaded to the executives, top management, then to the District Director, Deputy Directors, and Assistant Directors who will then implement the programme. Having looked at the DRDAR and the Department of Social Development, the study turns briefly to the local government.

Because of the decentralised nature of the local government, pronouncements are made by the executive mayors, sitting in the respective local municipalities. The executive mayors convey the information to the Senior Managers and Directors, Deputy Directors, to the Assistant Directors for implementation.

iii) The extent to which the current food security policies or directives are clear Respondents are divided on the extent of the policies’ clarity; some see the policies as being clear, with others believing the opposite, and others being neutral. The study concludes that the policy is generally clear, despite a few respondents stating the contrary. How long farmers are to be supported (referred by the respondent as the “exit strategy”), resulted in several respondents viewing the policy as not clear.

When it comes to directives, there is consensus that a directive might not always be clear. The respondent, a Chief Agricultural Development Technician at DRDAR, in affirming the lack of clarity of the directive, states that “... *the directive, they are not clear. You find that the directive comes from the HOD or MEC, saying that those farmers will benefit from the programme (cropping)*”. This study finds that the directives are sometimes not clear but cannot be questioned; they have to be implemented. This is in agreement with the findings of the study that the DRDAR uses a top-down approach.

- iv) The extent to which the current food security policies and directives are effective in guiding implementation,

As pointed out above, the study finds the policies to be generally clear; but the directives may or may not be clear. When not clear, it will be difficult for the directive to guide implementation. This study will not discuss the effectiveness of a directive to guide implementation as that depends on the extent of its clarity. The study now turns to the effectiveness of the policy to guide implementation.

As can be expected, some respondents view policy as effective in guiding the implementation, while others believe the opposite. This study focuses first on those who believe that the policy effectively guides implementation, and later discusses contrary views. In affirming their view about the effectiveness of the policy in guiding implementation, one respondent a Scientist at DRDAR states that “*Policies are clear, but sometimes, it is the people who give instructions maybe who may not accurately convey the information*”. The respondent views policies as being clear but points out that the instructions being given might not be clear. The respondent’s views depict a reality about the implementation process. Management or leadership has a bearing on the implementation process, and as such, instructions given should be consistent with policies. Individuals implementing policy may impact negatively on the process of implementation due to use of their discretion (Tummers and Bekkers, 2012). Exercise of discretion might result in different levels of implementation and outcomes. The above can also be generalised to apply to policies in general.

Having looked at the views on the effectiveness of the policy in guiding implementation, the study now turns to those who see the policy as being ineffective in guiding implementation. In supporting his view, the respondent, a Deputy Director at the DRDAR, states that

*... we are not achieving the targets; the government is structured hierarchically, so many steps hinder the effectiveness of the implementation. Secondly, the morale is relatively low from the implementing officers because once they don’t own that programme, they call some programmes the Head Office programmes.*

The respondent concedes that there is a disjuncture between the policy and the results and views good synergy between policies and processes as being essential to, and being the basis for, the effectiveness of the implementation. The respondent further states that the DRDAR does not meet its production targets. The respondent views several aspects as necessary in the effective implementation of food security policy, namely production targets (i.e. are set targets being achieved), organisational hierarchy, staff morale, and an understanding of the implementation context, all of which can be generalised to other aspects of public policy implementation.

- v) The extent to which the current food security policy states the problem to be addressed

The majority of the research respondents believe that the policy does state the problem that it seeks to address. Section 1.1. of the Food Production Policy states the problem to be addressed as follows (under the sub-heading: Problem statement):

*The Eastern Cape has the highest number of the household experiencing hunger compared to other provinces in the country... given this challenge, the Department cannot address the issue of food insecurity with its limited resources, there is a dire need for an integrated approach by all sector departments and the private sector (DRDAR, 2018, p. 2).*

A few respondents either could not remember whether the policy states the problem it seeks to address or not, or incorrectly indicated that the policy does not state the problem. This confusion can be attributed to ignorance or poor recall.

- vi) The extent to which the food security policy states the objectives that the policy intends to address

The majority of respondents indicate that the food security policy does state the objectives. Section 2 of the FPP states the objectives of the policy as follows:

*i) to improve food and nutrition security in the Province, ii) to encourage and support partnerships between smallholder farmers and private investors, and iii) to increase the capacity and the capabilities of subsistence, smallholder farmers to become commercial farmers that contribute to the economic growth of the Province (DRDAR, 2018, p. 2).*

The DRDAR is the only department with a dedicated food security policy, i.e. the Food Production Policy. The local government and the Department of Social Development do not have food security policies but food security finds its expression indirectly in documents such as the IDP and service-level agreements, respectively. Of the 58 respondents interviewed by the study, three could not remember whether the policy states objectives or not. This can be attributed to poor recall or ignorance.

vii) The extent of necessary political support for the food security policy

The overwhelming majority of the respondents correctly believe that there is political support for the food security policy. In affirming political support for the food security policy, the respondent, a key informant at DRDAR states that *“political heads of governments are champion that goes ahead, and they give justification for such programmes; now it becomes the role of the administrators to come up with the nut and bolt, with the policies, with the procedures”*. The respondent points out that political heads provide justification for programmes and this provides a basis for administrators to come up with details (referred to by the respondent as “nut and bolt”): policies, procedures, protocols which the public will easily understand. Another respondent, an Assistant Director in local government, provides further clarity on the need for political support and states the following *“There is political support... if it does not have a political buy-in, they will sabotage the programme, they will do all those things which delay development and implementation”*. The respondent points out the importance of having political support. In her view, if such is not gained, there will be sabotage, delays in development, and implementation. Another respondent provides further clarity on political support. In affirming his views on political support, the respondent, a Deputy Director at the provincial office, states the following *“Yes, yes, there are politicians who would not want to be seen on the other side. They want to be seen to be fighting poverty, fighting underdevelopment, unemployment. Politicians do support the policy”*. The respondent indicates that the politicians want to be seen as fighting poverty, underdevelopment and unemployment, hence do give political support to the food security policy. The three respondents cited above believe that there is political support for the food security policy. The majority of respondents correctly believe that there is political support for the food security policy. Very few respondents believe the opposite and cite poor working relationships between state officials involved in food security implementation and the ward councillor who are said to further political aspirations than food security.

viii) The extent to which stakeholders responsible for food security implementation are known and their roles are well defined by the policy

According to most respondents, the stakeholders responsible for food security implementation are known and stated by the policy. One respondent, a key informant at the DRDAR provincial office, states the following *“It is clear because it defines different commodity groups and role players in the industry, who we can partner with; be it for grain or livestock”*. The respondent indicates that the policy does state role players in the industry. Few respondents could not remember whether the policy does indicate stakeholders responsible for food security implementation and their roles; this can be attributed to ignorance or poor recall.

Section 7 of the Food Production Policy (DRDAR, 2018), states the roles and responsibilities of various stakeholders in food security implementation. These stakeholders include the DRDAR, municipalities, commodity group associations, farmer associations, and farmers. Section 3 of the Eastern Cape Economic Transformation Strategy (DRDAR, 2016), identifies and discusses different stakeholders' roles. The thesis has dealt with specific aspects of the policy aspects and will provide a summary.

### Summary

The chapter provided results and their discussion. These were presented as themes aligned with the conceptual framework and research objectives. These themes include organisational performance (effectiveness, efficiency, and responsiveness) and food security; accountability in the implementation of food security programmes; the food security strategies of the DRDAR and local municipalities and the Department of Social Development; coordination, planning, monitoring, and evaluation in the implementation of food security programmes; organisational culture in the implementation of food security programmes; the influence of local context on the decisions made by implementing agents. Following the results and discussion, the next chapter draws conclusions and recommendations as informed by results, study objectives, and the conceptual framework.

## CHAPTER 6: CONCLUSIONS AND RECOMMENDATIONS

This chapter provides conclusions drawn from the empirical research of this study. It does so in line with the objectives set out for this study. Further, the chapter provides a discussion of the theoretical implications of the study, before concluding with recommendations for policy consideration in the context of policy implementation for food security.

### 6.1 Conclusions from empirical research

The objectives of this study are set out in Chapter 1 and are here set out as the key themes of this study.

6.1.1 Organisational performance (i.e. effectiveness, efficiency and responsiveness), accountability and approach to governance in implementing food security programmes in OR Tambo District Municipality.

#### i) Effectiveness and efficiency

Effectiveness and efficiency were discussed in the previous chapter as part of organisational efficiency. Organisations implementing food security programmes are faced with challenges that impact on their ability to implement the programmes. Some of these challenges include the late provision of goods and services, political involvement, the umbrella or blanket approach to implementation, and a lack of resources. The **late provision** of goods and services results in lower crop yields. Undue **political involvement**, in certain instances results in programmes being implemented in areas unsuitable for agricultural production, thus neglecting the necessary feasibility studies. There is a lack of separation of **politics and administration**, as far as food security implementation in the OR Tambo District is concerned, specifically at the community level. The blanket or **one-size-fits-all** approach, generally used by state agencies in implementing food security programmes, is not informed by the resource needs of the beneficiaries or by the context of their natural environment.

#### ii) Responsiveness

Responsiveness in the District is affected by a lack of resources, procurement delays, the accessibility of projects, and the lengthy chain of command. Personnel and transport availability are central in this regard. Procurement delays impact negatively on the ability of state agencies to meet stakeholder needs. Poor road **infrastructure limits responsiveness** due to the longer time taken to reach projects; this is exacerbated by the geographical spread of projects across the District and transport availability limitations.

### iii) Accountability

The study concluded that accountability by public officials involved in the implementation of food security programmes, is done in the form of reports. The reports are submitted by extension personnel and consolidated by Control Agricultural Development Technicians in sub-districts. These are then submitted to the District Office for consolidation into one report for the District, which is sent to the Head Office. Finally, the Head Office has the responsibility of consolidating reports from all districts constituting the Eastern Cape Province, into one report for the DRDAR, i.e. for the Province. When it comes to the Department of Social Development, Community Development Workers compile reports and submit them to Assistant Directors who submit them to the Deputy Director who then reports to the District Director for consolidation of sub-district reports for submission to the Head Office. This applies to the DRDAR and the Department of Social Development. State agencies report to the provincial parliament as part of their constitutional obligations; this is done annually by the relevant heads of departments. The study observed that food security implementation faces limitations regarding accountability. **Consequence management**, in particular in food security implementation, is hardly implemented. The issues that are raised by the Auditor-General and the SCOPA are generally not addressed. The study noted a recurrence of the same findings by the Auditor-General and SCOPA. This research established that there is **no feedback loop** when it comes to reports submitted, either to or by the District. Some of the aspects within reports that are critical for the success of the food security programme, are not used as the basis for future planning and improving programme effectiveness, efficiency and responsiveness. The study concluded that reporting is done mainly for compliance purposes. Sayeed (2014) investigated good governance in the provision of extension and advisory services in KwaZulu-Natal and found that accountability was also done as a matter of compliance. This study and Sayeed draw the same conclusions regarding accountability in the South African public sector. This study observed that findings by oversight structures (audit committees, Standing Committee on Public Accounts, the Auditor General), provided in the form of written reports, are generally not implemented, especially those that have to do with financial oversight. Thus, there is very **little evidence to suggest that reports are utilised effectively** to pursue improved organisational performance.

When it comes to local government, officials account to the municipal councils in the respective sub-districts. As far as reporting is concerned, the Assistant Directors, who are the implementers of local government programmes, report to the Deputy Directors, who report to Programme Directors, who report to municipal managers and finally, the municipal managers

report to the municipal councils. This research observed accountability challenges, especially in consequence management. The lack of consequence management results in the recurrence of non-adherence to policies and guidelines, and the non-implementation of the recommendations of the Auditor General, Audit Committee and Standing Committee on Public Accounts. The challenge impacts negatively on the programme efficiency, effectiveness and responsiveness of the local government, Department of Social Development and the DRDAR. The Agri-SETA, on the other hand, does not seem to be affected by accountability issues, or at least not as they pertain to food security in the OR Tambo District.

6.1.2 Food security implementation strategies of the DRDAR and local municipalities  
State agencies responsible for food security implementation either provide inputs, infrastructure, or funds to beneficiaries. The Department of Social Development deposits funds into the bank accounts of beneficiaries. The direct deposit of funds to beneficiaries' bank accounts, presents challenges to financial accountability. Local government and the Department of Social Development programmes are fully funded. On the other hand, the beneficiaries of the DRDAR, contribute either towards mechanisation or inputs (i.e. for the maize production programme). The exception to the financial contribution is the Homestead Food Programmes, i.e. vegetable production for consumption and the livestock improvement programme. The DRDAR has formal partnerships (to one of which it provides funding), the local government and the Department of Social Development have no formal partners but both the have a good working relationship with the DRDAR food security programmes. Governance strategies of state agencies implementing food security programmes range from highly centralised, to centralised or decentralised.

6.1.3 Coordination, planning and monitoring and evaluation in the implementation of food security programmes.

i) Coordination

Effective coordination is complex; it should deal with intra-organisational challenges, inter-organisational challenges and the complex relationship between the District and the Head Office. The lack of separation between politics and administration, and the conflicts between stakeholders, especially at the community level, limit effective coordination. The approach to governance, specifically centralisation and a lengthy chain of command, also negatively impacts on coordination, especially if decision-making is delayed. Insufficient transport resources and the poor road infrastructure also impact negatively on coordination. In light of the above, addressing challenges regarding coordination, requires awareness of the pitfalls

emanating from intra- and inter-organisational challenges and District-Head Office complexities.

ii) Planning

Planning, like coordination, requires an analysis of intra- and inter-organisational challenges and the complex District-Head Office relationship. In addition, planning should be informed by baseline information, resource availability, and the uniqueness of sub-districts. This study observes that most of the challenges regarding implementing food security in the OR Tambo District, can be attributed to inadequate planning.

iii) Monitoring

State agencies responsible for food security implementation in the OR Tambo District generally appear to lack appropriate monitoring programmes from an administrative perspective. They are more effective from a technical perspective where the aim is to monitor various growth stages of different organisms. This objective is being achieved, even though the transport resources, road infrastructure, and the geographic spread of projects present challenges to the fully effective monitoring of the programmes. From the administrative perspective, monitoring should start with the availability of monitoring tools for various programmes. Food security implementation should prioritise the administrative aspect of monitoring, including establishing monitoring offices. The study concludes that the administrative element of monitoring cannot be fully effective, due to inadequate staffing and other resource limitations.

iv) Evaluation

Food security evaluation is usually not undertaken. The lack of evaluation represents a missed opportunity to establish standards of performance that would enable further programme improvement and organisational learning.

#### 6.1.4 Effect of organisational culture on the implementation of food security programmes

Organisational culture impacts on a number of organisational processes, including performance (Wambugu, 2014), programme implementation and staff morale. A more conducive culture within an organisation is likely to favor performance, and the attainment of organisational goals. An appropriate organisational culture may be a source of competitive advantage in organisations and can be a key to their success (Morcos, 2018). Morcos concludes that organisations should create a flexible culture that is responsive to functional, technical and operational aspects, with leadership vested with authority to make decisions, hire new talent and align employees with changing processes. This study finds that limited authority is

given to the DRDAR managers within the District and sub-districts, by the Head Office. This situation creates dependence and might also limit important aspects such as innovation.

i) Involvement of lower-level employees in decision-making

A feeling of non-involvement in decision-making by lower-level employees, contributes to lower staff morale. This feeling of non-involvement has the potential to impact negatively on the effectiveness and efficiency of programmes. In certain instances, programmes imposed by the Head Office were not implemented effectively. The study finds that the predominantly top-down approach adopted by some agencies, might be the main factor contributing to a feeling of non-involvement by lower-level employees and the resulting low staff morale. Lower morale will have a negative impact on programme implementation. The “non-involvement” of lower-level employees in decision-making, is characteristic of the top-down approach, and the hierarchical organisation of the bureaucratic or traditional approach.

ii) External versus internal focus

Internal focus refers to the organisation focusing more on internal processes, while an external focus involves devoting more time and resources to processes external to the organisation. Internally, organisations would be focusing more on the staff and related issues whereas externally, organisations would be focus on stakeholder interests. More focus on stakeholders to the neglect of staff may impact staff morale negatively. Food security implementation in the OR Tambo District may be a fair balance between external and internal focus. Staff morale, however, is low for food security implementation agents, especially those of the DRDAR and there is a need to address this aspect. Finding a solution to low staff morale will enhance the implementation of foods security programmes.

iii) Flexibility versus rigidity

State agencies responsible for food security programme implementation exhibit differing levels of flexibility, with some more flexible than others. The DRDAR is flexible when it comes to enabling better responses to drought, pests and diseases but is rigid when it comes to the number of years it supports farmers (sometimes for over 10 years) and the procurement of agricultural production inputs. State agencies implementing food security programmes use the one-size-fits-all approach to the provision of agricultural production inputs, to the neglect of environmental factors and requirements. The environmental uniqueness of the sub-districts is frequently neglected in the provision of agricultural production inputs. This observation of rigidity by the state agencies, is at odds with more recent forms of governance such as the NPM, which is more flexible. The DRDAR and the Department of Social Development agencies lean more to the bureaucratic approach, which is more rigid.

iv) Following procedures

State agencies implementing food security programmes generally follow procedures. There are, however, deviations when there is political involvement. When this happens, feasibility studies are not done, and programmes might be implemented in areas that are not suitable for agricultural production. Further, plans are changed so that infrastructure projects get implemented in areas other than those initially planned. Implementing projects in new areas, rather than those initially planned, creates discouragement, confusion and might be contributing to low staff morale.

v) The extent to which the organisation has a family, business or competitive culture  
State agencies implementing food security in the District exhibit a family culture, or a combination of family and business cultures. Business culture is characterised by the pursuit of industry standards and precision in programme implementation, while a family culture is more accommodating and characterised by nurturing and support. The external environment, especially the expectations of external stakeholders, influences an organisation's culture, i.e. whether organisations will have family or business cultures, or both. This observation is in line with major institutional theories.

vi) The extent to which the organisations are learning organisations

The DRDAR, a significant stakeholder in food security implementation, appears not to be learning as much as it could from its practitioners and partners. This is evident in the lower production yields of farmers supported by DRDAR. Learning could benefit food security implementation greatly.

To summarize the effect of organisational culture on the agencies implementing food security programmes in the OR Tambo District, the study concluded that the DRDAR could improve its culture by creating an environment and processes that will ensure lower-level employees' feeling of involvement. Further, the DRDAR could enhance internal focus and thus address the issue of low staff morale. The DRDAR is flexible in response to drought and diseases but should extend its flexibility to spread its programmes to new beneficiaries. The DRDAR does follow procedure, the exceptions being when there is undue political and administrative interference. The culture of organisations implementing food security programmes in the OR Tambo District (the DRDAR, the Department of Social Development and the Agri-SETA), is influenced by their operating environments. More can be done to improve the learning capabilities of the state agencies. The study could not draw meaningful conclusions from local government, the Department of Social Development and Agri-SETA on specific aspects of organisational culture, because of their smaller sampling sizes.

### 6.1.5 Influence of local context on implementing agents' decisions in the implementation process.

The policy implementation context comprises mainly intra-organisational, inter-organisational as well as district-province complexities. This is linked to resources, relationships, infrastructure, approach to governance (centralisation versus decentralisation; top-down versus bottom-up approaches), and policy-specific aspects. The state agencies use a one-size-fits-all approach to food security implementation, specifically in providing agricultural production inputs. The geographical spread of programmes presents challenges to effective monitoring. This is further exacerbated by the shortage of transport and personnel, and the poor road infrastructure. Undue political interference impacts negatively on planning and the effective coordination of programmes. Food security programmes are, in certain instances, used to advance political interests. Programmes imposed by the provincial office may result in poor acceptance and implementation by the District officials. Conflicts at the community level negatively impact programme implementation significantly, if there are delays in implementation or the environment is not conducive to programme implementation.

## 6.2 Theoretical implications

The conclusions drawn from this study contribute to the theory on public policy implementation in rural areas. In addition, they contribute to knowledge of the policy implementation context, which includes organisational culture, approach to governance, accountability, coordination, and planning.

This study finds that, contrary to the notion that the bureaucratic approach to **governance** is “long dead”, food security governance in the Eastern Cape, specifically in the OR Tambo District, still retains many aspects of the bureaucratic approach. This observation is evidenced by the top-down approach, a lack of flexibility, and the centralisation of decision-making. Within this context, “directives” from politicians and senior level professionals are never to be questioned, but implemented. Further, contrary to the general belief that the bureaucratic approach has been replaced by NPM (introduced in the 1980s and 1990s) as a model of public policy implementation, this study found very little evidence to support that notion in the implementation on food security policy and programmes in the OR Tambo District. If NPM had been introduced, there would be more evidence of entrepreneurship, efficiency, and effectiveness in the implementation of public policies, and governance would be characterised by at least some of the following: deregulation, decentralisation, elimination of administrative barriers, and the use of business methods (Katsamunskaja, 2016).

Institutional theory points to the reality of the institutionalisation of the processes and structures of organisations. Once institutionalised, these are accepted without being questioned (Zucker, 1983). While some literature points to the bureaucratic approach having been replaced by the NPM in 21<sup>st</sup> century governance, this study contends that the extent to which the former had been institutionalised, meant that it would not have been automatically erased following the introduction of a democratic dispensation in South Africa in 1994. The core of personnel who had embraced the bureaucratic approach over many decades, would have been entrenched in this approach, due to its institutionalisation. It can be argued that the bureaucratic approach might have evolved to some extent, but not necessarily have been entirely replaced with more modern forms of governance. This study has already observed that food security governance by the DRDAR, which is a significant role player in food security, is mainly top-down and rigid in its approach, and thus generally not supportive of more democratic, inclusive and flatter structures. The formal structures and processes of the DRDAR are usually documented as being flexible, consultative and bottom-up but the organisation's formal structures function as "mere myth and ceremony", as they are hardly ever implemented.

Contemporary governance is said to be more inclined to decentralisation, in line with the principles of NPM, however, this study found that even though there is a decentralisation of programmes in terms of the organisational structures, delegations given to the District and the sub-district to execute programmes, are limited. This can be used to further argue that the formal structures of organisations are hardly implemented. It can thus be concluded that the bureaucratic approach is entrenched in food security implementation by the DRDAR, as a result of the institutionalisation of this approach to governance over many decades.

Agency theory views street-level bureaucrats (professionals) as able to use discretion, contrary to the interests of their principals. This study demonstrates that it is not only the discretion of street-level professionals that presents challenges to policy implementation, but that political interference also presents challenges, especially at the community level. Political principals can, and do interfere with effective public policy implementation by street-level professionals. The principals serve their own interests, which the study found to be towards the pursuit of votes in exchange for services. It is clear that, to some extent, the discretion of street-level professionals is hampered. The study found that political involvement negatively impacts policy implementation effectiveness, efficiency, responsiveness, and coordination. The research established that political interference is more pronounced in election years and may result in a diversion of resources to areas that were not catered for in the planning stages. This thesis revealed two dimensions of political interference; firstly, services might be taken to

those villages supporting opposition parties, to lure them into voting for the ruling party, and secondly, services might be provided for those who support the ruling party, to ensure that they continue to do so. This study thus showed that even though agency theory often views the agent as being problematic as a result of their exercise of discretion in the implementation of public policy, there are instances where the principals themselves interfere with implementation and thus affect efficiency, effectiveness, responsiveness, accountability, planning, and coordination in the implementation of food security programmes. The theory on street-level professionals is silent on how political involvement impacts on food security implementation. This study observed and concluded that there are instances where political interference can advance political interests to the detriment of procedure, effectiveness, efficiency, responsiveness, coordination, and planning, and, in addition, that there are instances where the principals' actions can negatively affect policy implementation. This phenomenon is contrary to agency theory's view that the street-level professionals can be problematic in implementing public policy, due to the inappropriate exercise of their discretion (Akosa and Asare, 2017).

The current study highlighted the importance of limiting the discretion of street-level professionals' and principals' actions, to prevent them from negatively affecting the implementation of public policy. Literature is largely silent on the negative impact of the principals in policy implementation. This study exposed the adverse effects of political interference by principals and its implications for planning, coordination, effectiveness, efficiency, and responsiveness in implementing food security programmes. While the exercise of discretion by street-level professionals is a reality, it may be less problematic than the principals' political interference. Politics and administration work together in the African context, but each should play its role without negatively impacting the work of the other (Mubangizi & Tshishonga, 2013). Unfortunately, political interference impacts negatively on the administration and implementation of food security programmes in the OR Tambo District.

Lipsky (1969) described the coping mechanisms used by street-level professionals in executing their job roles. The mechanisms include, simplifications, developing routines, and changing clientele definitions. This study found that teamwork, sharing of resources, and working overtime are some of the coping mechanisms used by food security workers in the OR Tambo District, in coping with their job roles. Agency theory (as explained above) generally views street-level professionals as problematic and advises that their discretion should be managed to effectively implement public policy. Agency theory's conceptualisation of street-level professionals as problematic, might not necessarily apply in all situations. This

study found evidence of lower-level bureaucrats introducing initiatives that contribute to the effective implementation of public policy.

The study found that organisational culture impacts on good governance in different ways in the state agencies involved in the implementation of food security policy and programmes in the OR Tambo District. For example, some lower-level employees feel that they are not involved/included in decision-making. This feeling reduces staff morale. Low morale might negatively impact programme efficiency, effectiveness and responsiveness. The study found that there is a reasonable balance between internal and external focus, but that the DRDAR should identify factors contributing to low staff morale and invest in efforts to address this problem.

The study also found that the DRDAR is generally not flexible in implementing food security programmes but is flexible when responding to challenges of drought and diseases. Flexibility, in certain instances, could improve programme effectiveness, efficiency and responsiveness. Supporting the same farmers for more than ten years is a deviation from the policy and shows a lack of flexibility. The study found that organisations responsible for food security programme implementation, are generally perceived by interview respondents to be following procedures, however political involvement and interference by senior administrators results in deviations. This phenomenon reduces the effectiveness and efficiency of programmes, especially if it results in the implementation of programmes in unsuitable areas or where feasibility studies were not undertaken before implementation. The phenomenon also reduces the responsiveness of the state.

The study showed that organisations responsible for food security implementation have different cultures, as influenced by the demands of the external environment. This observation is in line with the institutional theory assertion that organisations reconfigure themselves in line with the demand of the external environment. A combination of family and business culture may result in a loss of efficiency and effectiveness. This loss is because the family culture is more accommodating and tolerant, compromising the efficiency and effectiveness criteria inherent in the business culture. State agencies aiming only to support household food security programmes, with no “commercialization” intent, exhibit a more family-like culture that may even impede efficiency and effectiveness. The study also found that state agencies responsible for implementing food security programmes, invest energy and resources in capacity building, however, there is very little evidence of incorporating such lessons into their practice. Investing resources in capacity building will only produce benefits if the skills gained

are put into practice. The state agencies should make more effort to become learning organisations.

Contrary to modern-day governance, the study found that two of the state agencies have centralised some of their functions. This centralisation is unusual in a democratic state. The phenomenon of centralisation confirms that formal structures may be just “*mere myth and ceremony*”. Further, the observation also confirms the contingency approach, which states that decisions taken by organisations are dependent on the environment. The centralisation observed in this study is not in line with NPM, which is generally said to have replaced the bureaucratic approach. This assertion is because NPM is characterised by decentralisation (Katsamunski, 2016). Local government in this study, is decentralised, as can be expected in a decentralised state.

The study found that state agencies implementing programmes may, in certain instances, not consider the uniqueness of a district, and that aspects such as soil nutrient status and climate are thus largely ignored in the provision of agricultural production inputs. Street-level professionals of the DRDAR refer to this phenomenon as the blanket, or umbrella approach to implementation.

A finding of this thesis is that state agencies follow different approaches to governance, some using the top-down approach with others using a more bottom-up approach; some are centralised while others are decentralised. Organisations adopting a top-down approach are more likely to be characterised by low staff morale, with employees displaying a lack of interest in programmes imposed on the District by the provincial office. In addition, the top-down approach may result in employees feeling that they are not being included in decision-making. The top-down approach contributes to a limited delegation of powers to the District by the provincial office of DRDAR. This limitation is a form of disempowerment and might be the main reason for demotivation and low staff morale.

The study found that centralisation may delay service provision and the effectiveness of implementing public policy, but that it might be beneficial when state agencies take decisions timeously and resources are allocated timeously. For example, when contracting for input provisions was centralised by the DRDAR, responsiveness and effectiveness improved. If faced with procurement delays by the sub-district offices, state agencies may turn to the centralisation of such services. The study found that when this happens, the timeous provision of services only occurs when the provincial office takes decisions and allocates resources earlier in the financial year.

This study underscored the impact of the governance approach, (i.e., the impact of centralisation and top-down or bottom-up approaches) on coordination and establishes that there is limited delegation (due to centralisation) of powers to the middle management team of the DRDAR based in the District, and that this phenomenon reduces the managers' scope and extent of their responsibilities. To some extent, this reduces the functions and the “independence” of the middle management and it can be argued that this could contribute to reduced staff morale. The above discussion is evidence that the principles of NPM, including decentralisation, are not necessarily implemented. The study found that, contrary to claims that the bureaucratic approach is long “dead”, food security programme implementation in the OR Tambo District is based on the bureaucratic approach to governance, which is generally top-down and highly rigid. Gumede and Dipholo (2014) asserted that the incompetence of public sector personnel in South Africa has resulted in a failure to fully implement principles of NPM as a governance reform. The UNDP (2015) observed that governance reforms in developing nations are still primarily based on the traditional approach to public administration. This observation is contrary to claims that the traditional approach is long “dead” and has been replaced as a governance reform.

On the other hand, Naidoo (2015) concluded that most managerial philosophies and related administrative capacities in South Africa, do exhibit elements of NPM and Post-NPM. This study, contrary to Naidoo (2015) established that food security governance in the Eastern Cape, specifically in the OR Tambo District, is primarily based on some aspects of the bureaucratic approach. When initially envisaged by Weber (1968), the bureaucratic system was characterised by speed, clarity, precision, discretion, continuity, reduction of friction and personal and material costs, cost-effectiveness, while at the same time encouraging specialization and objectivity compared to other types of administration models. This study cannot comment on all aspects as initially envisaged by Weber, but it found very little evidence to suggest speed, precision, continuity, reduction of personal and material costs, cost effectiveness and objectivity in the implementation of food security programmes. The findings of this study also do not agree with the findings of Naidoo (2015) that the managerial philosophies and administrative capacities in South Africa are based on NPM and Post-NPM approaches. The discrepancies could be based on study contexts and inherent governance arrangements, thus further emphasising that governance can be linked to contexts.

Tolbert and Zucker (1983) found that the adoption of a governance approach depended on the extent of its institutionalisation. This phenomenon might explain why there is little evidence of NPM as a governance reform in the South African context. On the contrary, there is ample evidence of the bureaucratic approach.

The complex relationship between the provincial office of the DRDAR and the District Office, presents a challenge to food security implementation. The main challenge is that the District has to await decisions from the provincial office before executing the programmes. As the study established, when decisions are taken earlier by the provincial office, there is timeous execution of the food security programmes. The study also emphasised the complexities associated with implementing food security programmes; it clearly showed some of the intricacies of District and provincial relationships and their bearing on food security implementation.

With regard to policy, the study found that a policy might be construed as lacking clarity if there is a lack of separation of politics and administration and in particular, when it does not specify the number of years farmers are to be supported.

Accountability, a variable of good governance, is about answerability (Munzhedzi, 2016). The basis of accountability in the South African context is the Republic of South Africa's Constitution, which is the foundation for all policies, acts, and guidelines. Central to the Constitution, are the country's citizens and the delivery of services to them. Accountability is a challenge for food security implementation in the Eastern Cape Province. The challenge is clearly demonstrated by the lack of evidence of the implementation of consequence management in cases of the non-adherence to policies and guidelines. The phenomenon seems to be the main reason behind the recurrence of inadequate accountability mechanisms at the DRDAR, which were pointed out repeatedly by both the Auditor General and the SCOPA. It can therefore be theorised, that there is more often than not, an increased likelihood of non-adherence to good governance practices in the absence of effective consequence management.

The lack of compliance incentives in the public sector might also be a contributing factor to this phenomenon. Good governance practices might be realised if a good balance of regular monitoring, consequence management, and the incentivising of compliance were established. Food security implementation in the OR Tambo District could be improved by more emphasis being placed on accountability. Sayeed (2014), found that a particular state agency implemented accountability for compliance only, rather than for developmental imperatives. The current study also observed the non-implementation of some recommendations by the Auditor General and the SCOPA and concluded that accountability in the OR Tambo District

is also done as a matter of compliance only. New Public Management, discussed earlier in this study, promised better accountability in public service, but that objective is yet to be realised, especially in the South African context. The observance of NPM would enhance accountability, limit corruption and incompetence (Hood, 1995).

The study identified four main themes of **accountability** in the implementation of food security programmes. These themes are technical accountability, administrative accountability, financial accountability and internal controls. The themes are central to the effective implementation of food security programmes and can only be realised through consequence management and regular monitoring. The themes might make some contribution to the theory of accountability in the implementation of public policy.

The study finds intra-organisational **coordination** to be a challenge for food security implementation in the District. Specifically, the study established the **long chain of command** as a critical aspect needing attention if food security effectiveness is to be realised. As the study found, the long chain of command is a source of undue delays in providing services. This finding might be considered a contribution to theory. Governance in the OR Tambo District needs to improve in its coordination, and the problems of the long chain of command and late procurement and delivery of agricultural production inputs, must be addressed.

This thesis established that **planning** is central to food security implementation in the OR Tambo District and should consider both internal and external complexities to be effective. Although government agencies are generally effective with regard to planning, the challenge in certain instances seems to be in the implementation of policy. The study found that the delayed provision of services, the neglect of baseline data about the areas to be served, the blanket, or umbrella approach to the implementation of food security programmes, the approach to governance (top-down versus bottom-up and centralisation versus decentralisation), and lastly, the lack of effective monitoring and evaluation, can all be traced back to inadequate planning by state agencies. This study concluded that there are instances where the state makes critical omissions regarding planning, which negatively impact on the implementation of public policy.

This study also found that political involvement impacts negatively on the coordination and planning of the food security programmes. The separation of politics and administration is thus crucial for the success of food security programmes. As a result of political interference, programmes are sometimes implemented in areas that are not suitable because scientific information about the area is ignored. The study concluded that, in these cases, food security implementation is generally not evidence-based as it neglects the available scientific data

which results in reduced efficiency, effectiveness and responsiveness in the implementation of programmes. Mubangizi and Tshishonga (2013) alluded to the inseparability of politics and administration in the African context as challenging as “these work hand in hand”. The **separation of politics and administration** is essential, but these have to work together, with neither dominating the other as has frequently been the case. For food security governance to be effective, there should not be undue political interference in matters of implementation. Mubangizi and Tshishonga (2013) further state that administration can only function if there is political commitment or support. They conclude that a **lack of political willingness** will result in the failure of development projects, whereas political interference will hinder development and promote corruption in both administration and politics. In this study, there is no evidence of development being hindered by a lack of political support, but, as the study found, development may be skewed to favour those not originally accommodated in the planning by the administration. This is done in exchange for political favours, either for those who support a particular political party or those who are being lured towards a specific political orientation. This study does not focus on corruption as that was not part of its objectives. Political involvement may favor some communities as a result of the pursuit of political gains. While political interference may hinder development in certain instances, within the context of food security implementation in the OR Tambo District, the study found that **political involvement** only results in development being skewed towards securing political favors and that when this happens, efficiency, effectiveness, responsiveness, accountability are limited and coordination and planning are negatively affected.

Contrary to modern-day **governance**, the study established that food security implementation in the OR Tambo District is characterised by **centralised, rigid structures** and is **predominantly top-down**, indicating that it has much in common with the **bureaucratic approach to governance**. The long chain of command, delayed procurement and delivery of inputs should be attended to if food security is to be improved. The top-down, rigid culture should be replaced by a more flexible and more responsive form of governance and administration. This study found that accountability is done for compliance only. Sayeed (2014) makes a similar finding in KwaZulu-Natal.

While planning is critical, the level at which it takes place is vital to implement projects. This research showed that plans conceptualised according to a one-size-fits all approach, are unlikely to succeed and that monitoring and evaluation through reports that lower-ranking officials religiously compile and submit, are unlikely to yield much fruit unless policy implementation processes incorporate a feedback loop. Institutional theory comprises three

elements. This research has shown that, **organisational culture** plays a profound role in policy implementation, as it determines the level of coordination, flexibility, willingness to learn, involvement of lower-level employees in decision-making, the extent to which an organisation follows procedure, and the approach to governance. **Accountability** does not appear to be much of an issue as most officials are accountable, but may be hamstrung by political interference, which also manifests in the unwillingness to enforce compliance with legislation, policies and prescripts. All these could be resolved by decentralisation and the adoption of NPM. This research has shown very little evidence of the NPM approach to governance in food security implementation in the OR Tambo District. If it had been introduced, NPM would be entrepreneurial, efficient, and effective in implementing public policies and characterised by deregulation, decentralisation, the elimination of administrative barriers, and the adoption of business methods. The introduction of NPM would lead to better responsiveness.

Lower-ranking officials appear to be very committed but lack the resources and have no power to influence decisions, despite the volumes of reports they compile. They have shown the ability to turn to teamwork, sharing of resources, and unpaid overtime work to pursue food security objectives. These efforts enhance the efficiency, effectiveness and responsiveness of the food security programmes. This research finds that street-level professionals strengthen policy implementation by turning to teamwork, the sharing of resources, and by working unpaid overtime. The observation underscores some of the initiatives by the street-level professionals in coping with their job roles. This finding by the study, challenges some assertions of agency theory which views agents as mainly problematic, because it demonstrates the value that discretion can sometimes play in enhancing policy implementation.

## **General recommendations**

From the findings of this study, some general recommendations are suggested. These recommendations are meant to address practical issues faced by food security implementation in the OR Tambo District. The study established through thematic analysis that challenges in the implementation of food security in the OR Tambo District are mainly the following variables, namely coordination, planning (including procurement, chain of command, communication, approach to governance, accountability, monitoring and evaluation, and risk management), and organisational culture (all of which are in line with the conceptual framework detailed in Chapter 2).

### **Recommendations 1: Coordination**

Two elements appear to be critical in terms of coordination; these elements are political interference and social aspects. The issue of silo mentality is also addressed.

#### **i) Political interference**

The study identified political interference as one of the challenges facing food security implementation. In the presence of political interference, accountability demanded from the administration by politicians cannot be effective. This compromise in accountability is precisely because the politicians cannot hold the administration accountable if they interfere with administrative processes.

It is recommended that a solution to the challenge of political interference, be found if the food security programmes' effective implementation is to be realised.

#### **ii) Social aspects**

The study found social facilitation to be essential for the effective coordination, and thus the effectiveness of the food security programmes. Implementers of food security programmes use the term "social facilitation" to describe the processes followed by DRDAR, especially prior to the implementation of programmes in rural areas. These processes involve arranging meetings with the ward councillor (political office bearer responsible for facilitating development programmes), farmers and traditional leaders to introduce programmes and solicit support. The study established that there are sometimes standoffs and conflicts at the community level, impacting the coordination of food security programmes negatively.

Effective coordination is vital if food security programmes are to achieve desired outcomes.

The study recommends that in order for food security implementation to be successfully achieved, the social environment where programmes are to be implemented should be understood, researched well in advance of implementation, and also provided with sustained support. Understanding the social context first, will identify and address any potential bottlenecks to the implementation and create a climate conducive to supporting the food security programme.

iii) Silo mentality

The issue of silo mentality is sometimes experienced in implementing food security programmes and has been discussed in some detail in the section on coordination. This study established that a silo mentality in some agencies has been recognised as hampering the implementation of food security programmes in the OR Tambo District. Better integration of programmes between state agencies responsible implementation would improve the programmes' effectiveness. The revival of the Provincial Culture Change Programme previously undertaken by the Eastern Cape, cited earlier in this thesis, could contribute to an improved exchange of information, both within and across the implementing agencies. It is recommended that the leadership and management of the relevant state agencies, take deliberate steps to break down the barriers that hamper the effective coordination of programmes.

## Recommendations 2: Planning

A number of elements, namely procurement, chain of command, communication, approach to governance, accountability, monitoring and evaluation, and risk management affect planning.

i) Procurement

The study finds procurement to be one of the main factors impacting negatively on food security in the District.

It is recommended that effective planning of procurement for timeous delivery of production inputs be implemented to ensure better production yields. Secondly, that suppliers be carefully vetted to minimise supplier risks, such as not honouring their commitments. Lastly, that legally binding and easily enforceable contracts with suppliers be drawn up to ensure that suppliers keep to their obligations timeously. The state should also allow suppliers time to prepare for the supply of inputs or service provision.

ii) A long chain of command

The study identified the long chain of command involved in the procurement of agricultural inputs and services, to be one of the challenges facing food security in the District. The study proposes a much shorter chain of command, without compromising the necessary checks and balances. The shorter chain of command should ensure a much quicker procurement of goods and services, facilitate better intra-organisational coordination and contribute positively to the effectiveness of the food security programmes.

iii) Communication

The thesis also identified communication as another of the main challenges facing food security in the District. This challenge is evident in the significant disjuncture between the DRDAR's Head Office expectations, and those of the District.

Therefore, the study proposes the development of an effective communication strategy for the implementation of food security programmes. The revival of the Provincial Culture Change Programme is one of the tools that could further assist in ensuring a better flow of information between various spheres of government and stakeholders involved in food security.

iv) Approach to governance

The study found that the DRDAR and the Department of Social Development are centralised, more so DRDAR, while local government is decentralised. The DRDAR, contrary to modern-day governance practice, is highly centralised, despite the organisational structure claiming that it is decentralised. The study recommends a move towards decentralisation.

The provincial office might consider creating the necessary capacity to develop mechanisms for effective monitoring and accountability. This approach would be much more efficient and would enhance food security implementation.

### Recommendations 3: Accountability

Because the study finds that food security implementation is still characterised by poor financial accountability, it is recommended that financial controls and oversight mechanisms should be enhanced. The politics-administration dichotomy is also a challenge when it comes to food security. A solution to the politics-administration dichotomy should be found if food security implementation is to be fully effective.

#### Recommendation 4: Monitoring

Monitoring should be improved. The development of a monitoring tool to ensure the monitoring of projects is essential. A properly staffed monitoring and evaluation office is critical if food security programme implementation is to become more effective and efficient. It is recommended that comprehensive monitoring, which will no longer be limited only to infrastructure projects, should be enhanced.

This thesis recommends adequate staffing of the monitoring and evaluation offices to support the food security programmes in their quest for improved performance.

#### Recommendation 5: Evaluation

Adequate staffing of the M&E Office is essential for evaluation effectiveness. Further, an evaluation tool should be developed. The study established that evaluation is not done. It is suggested that food security implementation should evaluate its programmes to derive maximum benefit from the effort. Evaluation will require investing in resources

#### Recommendations 6: Risk management

The thesis identified various risks impacting food security programmes, namely the issues of suppliers, seed cultivars, drought, and pests

##### i) Risks linked to suppliers

The risk associated with suppliers of goods and services has been identified as one of the challenges facing food security programmes (see under Procurement above). Suppliers do not always deliver inputs on time or may even be completely unable to honour their obligations. The development of legally binding and easily enforceable contracts should assist in alleviating this situation.

##### ii) Risks linked with seed cultivars

Risks associated with unsuitable maize cultivars contribute to the ineffectiveness of the food security programmes. Government supply chain management policy does not allow the naming of preferred seed cultivars. It is recommended that this policy be reviewed to prevent the occurrence of more unsatisfactory harvests. This leeway in expressing the preferred seed variety will add value to the food security programme.

iii) Drought

With climate change, the risks associated with drought are high. It is within this context that food security governance should ensure the development of effective drought mitigation strategies. These strategies should provide an improved and timeous response. As part of that strategy, the development of drought-resistant seed cultivars would, in the long term, also benefit the food security programmes.

iv) Pests and diseases

Diseases and pests are a threat to food security. Increased monitoring and more effective responses are essential in minimising their potential impact on food security. The selection of disease-resistant seed cultivars could also contribute to addressing this challenge. Research into the development of natural pest control methods might also benefit food security programmes.

Recommendation 6: Organisational culture

i) Organisational culture: Capacity to learn

The thesis established that the implementers of food security programmes could improve their ability to learn and implement lessons. There is an excellent opportunity to learn from various stakeholders involved in the implementation of food security programmes. The thesis established that although there is a wealth of information and capacity in implementing food security programmes, such information is generally not put into practice. Thus, the state can learn from all involved in food security programmes and put those lessons to good use. The state should also develop effective mechanisms to share best practice across the District, sub-districts, the national department, and state agencies implementing food security programmes. This practice will significantly improve the efficiency and effectiveness of food security programmes.

ii) Flexibility

The study found that DRDAR is rigid and top-down in how it implements food security programmes, for example, by supporting some farmers for ten or even 20 years. The study recommends that the state develop an exit strategy to determine the length of time farmers should be supported. This will ensure that more farmers benefit from state intervention than is currently the situation. The study found that while there is flexibility in the response to drought and disease, it is recommended that state agencies heed the recommendations of their scientific staff about suitable climatic and soil conditions for the implementation of food security programmes, especially with regard to crop production.

## **Conclusion**

This study sought to understand good governance in implementing food security programmes in the OR Tambo District. The study underscores the value of the internal, external, and district-province complexities on food security programmes. Lack of separation of politics and administration presents challenges to food security in the District. The administration-political dichotomy impasse should be addressed if food security implementation is to be fully effective. Further, strengthening the M&E Office and developing appropriate tools is essential for improved administration and implementation of food security programmes. The study found that accountability was done for compliance purposes only and recommendations of oversight structures are hardly implemented, hence the recurrence of findings by the Auditor General and the Standing Committee on Public Accounts. Food security implementation in the OR Tambo District should also address the long chain of command, which delays procurement and supply of agricultural production inputs. Key to this is the complex relationship between the District and the Province. Food security implementation in the OR Tambo District is generally top-down, hierarchical, highly centralised, rigid, and entrenched in the bureaucratic system of governance. This approach is contrary to much more democratic, decentralised, flexible approaches characterised by flat organisational structures inherent in 21<sup>st</sup> Century governance systems. Food security governance in the OR Tambo District shows very little evidence of NPM introduced in the 80 and 90s and hailed as a basis for efficient and effective implementation of public policies, deregulation, decentralisation, elimination of administrative barriers, and use of business methods. This study thus concludes that the bureaucratic approach is in many ways, entrenched in the South African public sector due to its institutionalisation over many decades. As a result, neither NPM nor any other governance approach could be introduced and institutionalised and thus find its expression as a governance reform in the South African context. The current governance approach in South Africa, is probably a combination of practices adopted from developed nations, in the hope that they would be a panacea to solve local problems.

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## **APPENDIX I: INTERVIEW GUIDE`**

UNIVERSITY OF KWAZULU-NATAL

Public Governance

PhD Research Project

Researcher: Justice Maluleke (0824448635)

Supervisor: Prof B.C. Mubangizi (0312603557)

UKZN Humanities and Social Science Research Ethics Office: (031  
2604557)

### **Information Sheet and Consent to Participate in Research**

Date:

Greetings,

My name is Justice Maluleke from the Department of Rural Development and Agrarian Reform, 0826789559, [justicemaluleke@gmail.com](mailto:justicemaluleke@gmail.com).

You are being invited to consider participating in a study that involves research on governance and food security. The aim and purpose of this research is to investigate factors that influence good governance in implementation of food security programmes. This study will contribute to improving good governance in implementation of food security programmes in the OR Tambo District in the Eastern Cape Province. The study is expected to include 40-60 participants in total, i.e. 20 (Department of Rural Development and Agrarian Reform), 5-10 (local government officials), 5-10 (Members of NGOs and AgriSETA) and 5-10 (Local Government Officials) and 5-10 (officials of the Department of Social Development), all the participants are based in five local municipalities constituting OR Tambo District, the exception being Department of Rural Development Officials Based in Bisho and Kind Williams Town (also in The Eastern Cape Province), Interviews will be conducted in respective offices in Mthatha, Tsolo, Lusikisiki, Qumbu, Libode and Port St Johns. The study will involve face to face interviews, where participants will be asked semi-structured questions. Further, the study will involve evaluation and analysis of documents. The duration of your participation if you choose to participate and remain in the study is expected to be (about 45 minutes). The study is funded by the National Research Foundation.

This study will not expose participants to any form of risks, i.e. either physical or psychological. The study will provide no direct benefits to participants. The study will contribute to understanding of good governance in implementation of food security programmes. This implies a better understanding of both strengths and weaknesses of the current food security interventions with an aim of building on the strengths of current

interventions while also making recommendations to enable improvement to the identified limitations.

The study research questions can only be answered through semi-structured interviews. Semi-structured interviews provide in-depth understanding of the research phenomenon while at the same time providing for flexibility and thus opportunity to probe participants so as to better understand the research phenomenon. Semi-structured interviews can be able to provide answers to why and how questions. No alternative data collection strategy is available for answering research questions posed by the study.

The study will be conducted in offices and during working hours, for safety and convenience. The study poses no physical nor psychological harm and thus no medical or psychological interventions to be made are anticipated.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee (approval number\_\_\_\_\_).

In the event of any problems or concerns/questions you may contact the researcher at 0826789559, 0475423710, [justicemaluleke@gmail.com](mailto:justicemaluleke@gmail.com), the study supervisor Professor Betty Claire Mubangizi at 0312603557, [Mubangizib@ukzn.ac.za](mailto:Mubangizib@ukzn.ac.za) or the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

**HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION**  
Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001  
Durban 4000 KwaZulu-Natal, SOUTH AFRICA  
Tel: 27 31 2604557- Fax: 27 31 2604609  
Email: [HSSREC@ukzn.ac.za](mailto:HSSREC@ukzn.ac.za)

Your participation in the study is voluntary and by participating, you are granting the researcher permission to use your responses. You may refuse to participate or withdraw from the study at any time with no negative consequence. Your anonymity will be maintained by the researcher and the School of Management, I.T. & Governance and your responses will not be used for any purposes outside of this study.

All data, both electronic and hard copy, will be securely stored during the study and archived for 5 years. After this time, all data will be destroyed.

If you have any questions or concerns about participating in the study, please contact me or my research supervisor at the numbers listed above.

Sincerely

(Researcher name and signature)

-----

## CONSENT TO PARTICIPATE

I ----- have been informed about the study entitled “Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa’s Eastern Cape Province” by Justice Maluleke.

I understand the purpose and procedures of the study.

I have been given an opportunity to ask questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at: 0826789559, 0475423710, [justicemaluleke@gmail.com](mailto:justicemaluleke@gmail.com) or the study supervisor Professor Betty Claire Mubangizi (0312603557, [Mubangizib@ukzn.ac.za](mailto:Mubangizib@ukzn.ac.za)).

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

### HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus  
Govan Mbeki Building  
Private Bag X 54001  
Durban  
4000  
KwaZulu-Natal, SOUTH AFRICA  
Tel: 27 31 2604557 - Fax: 27 31 2604609  
Email: [HSSREC@ukzn.ac.za](mailto:HSSREC@ukzn.ac.za)

Additional consent, where applicable

I hereby provide consent to:

Audio-record my interview / focus group discussion      YES / NO

The study will audio record research participants during face to face interviews with the researcher. The researcher will ask semi-structured questions to the participants, who will then respond verbally. These research participants (from Department of Rural Development and Agrarian Reform, Local Government, Department of Social Development, AgriSETA and NGOs involved in food security programmes within OR Tambo District) have been purposefully selected to answer research questions (face to face). Recording will allow the researcher to put effort on the interview process (including asking questions, maintaining rapport with participants, and probing when necessary). This will improve the quality of research data. Further it will improve the quality of interview transcripts, as the researcher will pay attention to the interview process and only at a later stage listen and make verbatim transcription of the research data gathered.

\_\_\_\_\_  
**Signature of Participant**

\_\_\_\_\_  
**Date**

## **Participant details**

- i) Position/role in the institution
- ii) Age category (21-30, 31-40, 41-50, 51-60, 61-65)
- iii) How long have you been working for this institution?
- iv) Gender? Male / Female
- v) Type of institution (e.g. Local Government) and Name of Institution
- vi) How long have you been working in food security environment? 0-5 years, 6-10 years, 11-15 years, 16-20 years, 21 years and above
- vii) Qualification? Matric, diploma, degree, honours degree, master's degree, PhD

## **Question 1**

1.1 In what way is doe your organisation ensure effectiveness in implementing food security programmes?

1.2. How does your organisation achieve efficiency in implementing food programmes?

1.3 Tell me how your organisation manages to serve all stakeholders in implementing its food security programmes?

## **Question 2**

2.1. How does your organisation ensure effective coordination of its activities inside and outside (with regard to food security)?

2.2. In what ways does your organisation ensure effective planning with regard to food security implementation?

2.3. Tell me about the effectiveness of your organisation in monitoring of food security programmes? Please explain

2.4 How does your organisation ensure effectiveness in evaluation of food security programmes?

### **Question 3**

3.1. How does the leadership, management and lower level employees interact in decision making?

3.2. In what ways does the leadership of your organisation displays internal versus external focus in implementing food security programmes.

3.3. What is your view on the extent to which your organisational leadership is flexible versus being rigid in implementing food security programmes

3.4 Can you explain in what ways your institution ensures that it follows procedure in implementing its food security programmes.

3.5. How would you characterise your organisation a) Family like, b) competitiveness/business like or otherwise?

3.6 Please comment on whether your organisation is open to learn and incorporate new practices from other institutions including regulatory bodies, professional bodies or any other institutions.

### **Question 4**

4.1 How do you implement your job responsibilities in case the policy/directive is not clear but you have to implement that policy or directive?

4.2. What are actions do you undertake when unreasonable expectations are placed such that you but you cannot cope with job roles and responsibilities

### **Question 5**

5.1 What strategies are used by your organisation to uphold financial accountability in implementing food security programmes?

5.2 Please can you comment on the effectiveness of financial controls in implementation of food security programmes

5.3 Explain how your organisation manages to uphold high levels of accountability in terms of other job roles and processes (excluding finances) as far as implementation of food security programmes is concerned.

### **Question 6**

6.1. How can your organisation contribute to ensuring food availability to all communities? (probe to include production, storage etc.)

6.2 What are the main factors determining access of food by households? (probe to include household income, food prices, distance to retailers).

6.3 What is being done by your institution to ensure that food is always available to all communities?

## Question 7

7.1. Which documents/guidelines/policy/pronouncements etc. inform food security program implementation by Institution?

7.2. What are steps/processes undertaken by your institution in implementing food security programs (from the time there is a pronouncement through implementation).

7.3 i) What is your view on the clarity current food security policy or directive.

ii) What is your view on the current food security policy or directive's effectiveness in guiding the implementation.

7.4 What is the extent to which the current food security policy states the problem to be addressed.

7.5 What is your comment on whether the food security policy states the objectives that the policy intends to address.

7.6 In your view, how would you describe the political support for the food security policy.

7.7 Would you say that the stakeholders responsible for food security implementation are known and their roles well defined by the policy or not.

-What do you mean by that

-Please clarify

-Please elaborate more

## APPENDIX II: GATE KEEPER LETTERS



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### OFFICE OF THE CHIEF DIRECTOR: DISTRICT COORDINATION

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8<sup>TH</sup> Floor · Dukumbana Building · Independence Avenue · Private Bag X0040 · Bhisho · REPUBLIC OF SOUTH AFRICA  
Tel: (0)40 602 5033 · E-mail: [nomthandazo.bhenqu@drdar.gov.za](mailto:nomthandazo.bhenqu@drdar.gov.za) · [www.drdar.gov.za](http://www.drdar.gov.za)

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25 JULY 2019

**Mr Justice Maluleke**  
University of KwaZulu- Natal  
Durban  
South Africa

Dear Mr Maluleke

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa's Eastern Cape Province**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the DRDAR officials relevant to your study in OR Tambo District.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

**NTSABO**  
CHIEF DIRECTOR - DISTRICT COORDINATION

Vibrant, equitable, sustainable rural communities and food security for all.





Province of the  
**EASTERN CAPE**  
SOCIAL DEVELOPMENT

10<sup>th</sup> Floor- Botha Sigcau Building - Private Bag X6000 – MTHATHA- 5099 – REPUBLIC OF SOUTH AFRICA  
Tel: 047-5314228 • Fax: 047-5324554 • Email address [nomsa.titus@ecdsd.gov.za](mailto:nomsa.titus@ecdsd.gov.za) Website: [www.socdev.ecprov.gov.za](http://www.socdev.ecprov.gov.za)

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**OFFICE OF THE DISTRICT DIRECTOR: OR TAMBO**

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Department of Social Development  
Private Bag x 6000  
**MTHATHA**  
5099

Mr Justice Maluleke  
University of KwaZulu – Natal  
**DURBAN**  
**SOUTH AFRICA**

Dear Justice Maluleke


**RE: GOVERNANCE AND POLICY IMPLEMENTATION – A CASE STUDY OF FOOD SECURITY PROGRAMMES IN THE OR TAMBO DISTRICT OF SOUTH AFRICA'S EASTERN CAPE PROVINCE**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials of the Department of social development relevant to your study within OR Tambo District.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

  
**MRS VN-TITUS**  
**DISTRICT DIRECTOR: OR TAMBO DISTRICT**

*Building a Caring Society Together.*



OFFICE OF THE MUNICIPAL MANAGER  
PORT ST JOHNS MUNICIPALITY  
EASTERN CAPE PROVINCE OF RSA

PO Box 2 ,Port St Johns,5120 – Erf 257 Main Street, Port St Johns, 5120

**Mr Justice Maluleke**  
**University of KwaZulu- Natal**  
**Durban**  
**South Africa**

**Dear Justice Maluleke**

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa’s Eastern Cape Province**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials in the Port St Johns Municipality

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

**Mr S . XUKU**  
**Senior Manager : LED**

10/12/2019  
DATE



Phone: 047 501 4269  
Fax : 0866564877  
[christelleg@ksd.gov.za](mailto:christelleg@ksd.gov.za)

Strategic & Economic Development  
KD Matanzima Building, Room 21,  
Cnr Victoria and Owen Street  
Mthatha 5099

02 December 2019

Mr Justice Maluleke  
University of KwaZulu- Natal  
Durban  
South Africa

Dear Justice Maluleke

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa’s Eastern Cape Province**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials relevant to your study and within King Sabata Dalindyebo Local Municipality.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

A.O. PANTSHWA  
DIRECTOR: STRATEGIC & ECONOMIC DEVELOPMENT

**MHLONTLO LOCAL MUNICIPALITY**



**Mr Justice Maluleke  
University of KwaZulu- Natal  
Durban  
South Africa**

**Dear Justice Maluleke**

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa’s Eastern Cape Province**


We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials relevant to your study in Mhlontlo Local Municipality.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

Yours in Developmental Local Government

  
Municipal Manager  
Mr SG Sotshongaye

# NYANDENI LOCAL MUNICIPALITY

**PHYSICAL ADDRESS:**  
B.N. Nomandela Drive  
LIBODE

**POSTAL ADDRESS:**  
Private Bag X 504  
LIBODE  
5160



Tel: 047 555 5008

Fax: 047 555 0202

E-mail:  
cekwanag@nyandenilm.gov.za

*"Deciding with the people, not for the"*

**Mr Justice Maluleke**  
University of KwaZulu- Natal  
Durban  
South Africa

Dear justice Maluleke

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa's Eastern Cape Province**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials relevant to your study in Nyandeni Local Municipality.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

We wish you well in your research project.

  
SENIOR MANAGER PLANNING AND DEVELOPMENT  
G.N CEKWANA

10/12/2019  
DATE

# INGQUZA HILL LOCAL MUNICIPALITY

130 Main Street  
PO Box 14  
Flagstaff  
4810  
Eastern Cape



INGQUZA HILL  
LOCAL MUNICIPALITY

66 Main Street  
PO Box 7  
Lusikisiki  
4820  
Eastern Cape

Tel: (039) 252 0131/61  
Fax: (039) 252 0699

Tel: (039) 253 1568/1096  
Fax: (039) 253 1234

06 December 2019

Enquiries L. P. Sihlobo

**Mr. Justice Maluleke**

**University of KwaZulu- Natal**

**Durban**

**South Africa**

Dear Justice Maluleke

**RE: Governance and policy implementation – a case study of food security programmes in the OR Tambo District of South Africa’s Eastern Cape Province**

We are in receipt of your research proposal to carry out the above research. I am happy to inform you that request to carry out this research is accepted. You may proceed to interview any of the officials relevant to your study in Ingquza Hill Municipality.

Please note the following:

1. We are unable to provide you with a stipend, office space, and internet connection or telephone services when you visit any of our offices.
2. We bear no responsibility for your safety or that of your research assistants during the course of your research.
3. On completion of your project we will expect a policy brief on the outcomes of your research project.

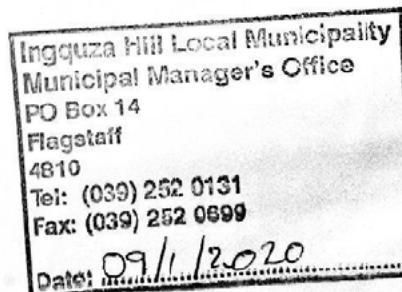
We wish you well in your research project.

Issued by

  
**M. Gqada**

**Acting Municipal Manager**

Official Stamp:



UPHUHLISO LWABANTU KUQALA

Email: [info@ihlm.gov.za](mailto:info@ihlm.gov.za) | Website: [www.ihlm.gov.za](http://www.ihlm.gov.za)

## APPENDIX III: ETHICAL CLEARANCE



25 August 2022

Justice Maluleke (219094474)  
School Of Man Info Tech & Gov  
Westville Campus

Dear Justice Maluleke,

Protocol reference number: HSSREC/00001438/2020

Project title: Governance and policy implementation a case study of food security programmes in the OR Tambo District of South Africa s Eastern Cape Province

Amended title: Governance in food security programmes in the OR Tambo District, South Africa

### Approval Notification – Amendment Application

This letter serves to notify you that your application and request for an amendment received on 23 August 2022 has now been approved as follows:

- Change in title

Any alterations to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form; Title of the Project, Location of the Study must be reviewed and approved through an 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.

Best wishes for the successful completion of your research protocol.

Yours faithfully

.....  
Professor Dipane Hlalele (Chair)

/dd

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Humanities & Social Sciences Research Ethics Committee  
UKZN Research Ethics Office Westville Campus, Govan Mbeki Building  
Postal Address: Private Bag X54001, Durban 4000  
Tel: +27 31 260 8350 / 4557 / 3587  
Website: <http://research.ukzn.ac.za/Research-Ethics/>

Founding Campuses: Edgewood Howard College Medical School Pietermaritzburg Westville

INSPIRING GREATNESS