

**AN IMPLEMENTATION ANALYSIS OF THE VUKUZAKHE EMERGING
CONTRACTOR DEVELOPMENT PROGRAMME IN THE KWAZULU- NATAL
DEPARTMENT OF TRANSPORT**

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Submitted in partial fulfilment of the requirements for the degree of Master of Social
Science (Policy and Development Studies), in the Faculty of Humanities,
Development and Social Science at the University of KwaZulu-Natal,
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2010

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DECLARATION

I, Bongiwe Precious Dlamini declare that this dissertation is my own unaided work. All citations, references and borrowed ideas have been duly acknowledged. It is being submitted for the degree of Master of Social Science (Policy and Development Studies) in the Faculty of Humanities, Development and Social Sciences, University of KwaZulu-Natal, Pietermaritzburg, South Africa. None of the present work has been submitted previously for any degree or examination in any other University.

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Acknowledgements

First and foremost I would sincerely like to thank God Almighty for giving me strength to carry on and achieve success.

My sincere thanks and appreciation is extended to my family especially my husband Sthembiso and my two sons Njabulo and Esihle for allowing me to steal family time to complete my studies and fulfill my dream.

I would like to place on record my gratitude to the officials of the KwaZulu- Natal Department of Transport: Economic Empowerment Directorate and the Vukuzakhe Emerging Contractors for agreeing to be interviewed and allowing this study to be undertaken.

Last but not least I would like to thank my Supervisor Mr M. Rieker for all his time, guidance, dedication and encouragement. At times the task seemed impossible but Mr. Rieker made it all possible.

Abstract

This dissertation reviews the implementation of the Vukuzakhe Emerging Contractor Development Programme. The Vukuzakhe Emerging Contractor Development Programme was initiated by the KwaZulu- Natal Department of Transport to fulfil the South African democratic government's mandate of Black Economic Empowerment (BEE).

The dissertation identifies and describes the barriers to, and problems of the implementation of the Vukuzakhe Programme. Rossi and Freeman's (1989) approach to program monitoring/process evaluation is used as an analytical framework. The study examines how emerging contractors view the admission, progression and exiting strategies of the Vukuzakhe Programme.

The triangulation of both qualitative and quantitative methods was used to try and overcome issues of validity and bias.

The qualitative method employed was in-depth interviews (i.e. face-to-face interviews) with the KwaZulu- Natal Department of Transport officials. These are officials from the DOT's Economic Empowerment Directorate who are directly responsible for the implementation of the Vukuzakhe Programme. Three out of five officials agreed to participate in the interviews. Nevertheless, the data that was gathered from those three officials was very informative as far as the Vukuzakhe Programme is concerned. Therefore the sampling that was used was purposive.

The quantitative method employed was a structured; self- administered questionnaire used to gather data from the emerging contractors. For this dissertation a sample of 20 emerging contractors who were in different stages of the Vukuzakhe Programme were randomly selected from the database. Out of the 20 selected emerging contractors only 10 agreed to participate in the interviews. The results of the interviews was not generalised to all emerging contractors. However, the findings gathered were informative as far as the implementation process of the Vukuzakhe Programme is concerned.

Since both qualitative and quantitative data were collected, content analysis was used to analyse the qualitative data and the descriptive statistics using the SPSS programme was used to analyse the quantitative data.

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List of Acronyms

ANC:	African National Congress
BAC:	Bid Award Committee
BBBEE:	Broad- Based Black Economic Empowerment
BEE:	Black Economic Empowerment
BMF:	Black Management Forum
CIDB:	Construction Industry Development Board
DOT:	Department of Transport
DTI:	Department of Trade and Industry
KZN:	KwaZulu- Natal
RDP:	Reconstruction and Development Programme
SMME:	Small Medium Micro Enterprises
SPSS:	Statistical Package for the Social Sciences
Stats SA:	Statistics South Africa

Chapter 1: Introduction and Background

1.1 Introduction

The first democratic government of South Africa was elected in 1994. It was mandated to redress the political, social and economic inequalities of the past. This mandate is embodied in the South African Constitution. The policies and programmes that were subsequently introduced and implemented by the government were an attempt to fulfil this mandate. Many of these policies and programmes focused on alleviating the country's pervasive poverty and unemployment.

More than a decade after the first democratic elections, the unemployment rate as well as the number of people living in poverty in South Africa remains high. The 2001 Census revealed that unemployment is partly, although not entirely, a youth problem and linked to a lack of access to adequate or appropriate education and training. The Extended Public Works Programme, which focuses on uplifting the youth, is crucial in addressing this issue but findings by Statistics South Africa suggest that this should be coupled with internship opportunities and further formal training in the service sector fields where such opportunities exist (Statistics SA, 2001:197). Policies and programmes formulated to address poverty and unemployment in South Africa are an important area of concern for policy makers and analysts in the post-apartheid era. This dissertation examines the implementation of one such programme; the Vukuzakhe Emerging Contractor Development Programme.

1.2 Poverty and unemployment in South Africa

The Reconstruction and Development Programme (RDP) states that: "poverty is the single biggest burden of South Africa's people and the direct result of the apartheid system and the skewed nature of business and development which accompanied it" (RDP Document 1994:14). By attacking poverty and deprivation, the RDP aims to set South Africa firmly on the road to eliminating

hunger, providing land and housing to all people, providing universal access to safe drinking water and sanitation, ensuring the availability of affordable and sustainable energy sources, eliminating illiteracy, raising the quality of the education and training of children and adults, protecting the environment, and improving South Africa's health services; making them accessible to all. Statistics SA (2001:54) argues that poverty should be examined from a broader perspective than merely economic. They suggest that poverty is usefully viewed as the denial of those opportunities and choices that are fundamental to human development and that allow humans to lead long, healthy and creative lives and enjoy a decent standard of living, freedom, dignity, self-esteem and respect from others (2001:54).

In his State of the Nation Address (2005:488), the former President Mr Thabo Mbeki, argued that unemployment has significant economic and social costs for individuals and households, as well as for society at large. He further argued that unemployment and the inability to earn an income are factors that determine why people end up living in poverty and also why they are unable to easily move out of poverty (especially in developing countries where there is little or no social safety net). The argument that is made is that there is a relationship between unemployment and poverty and thus in order to alleviate poverty one needs to promote employment and focus on job creation.

The current President, Mr Jacob Zuma, in his 2010 State of the Nation address, lamented the economic crisis that is currently being experienced worldwide. Statistics South Africa indicates that this recession has increased the number of unemployed South Africans by 3.7% and there has also been an increase of 3.6% in the number of persons who are not economically active (Statistics South Africa: 2010 Third Quarter Labour Force Survey:8).

Moreover, Statistics South Africa's Third 2010 Quarterly Labour Force Survey further indicates that the annual number of unemployed persons in South Africa has increased by 2.7% among men and 4.7% among women. The survey also shows that those who are the most affected by the high unemployment rate are the most vulnerable; namely women and children.

The KwaZulu-Natal (KZN) Department of Transport (DOT) formulated the Vukuzakhe Emerging Contractor Development Programme in order to help alleviate poverty and unemployment. The Vukuzakhe Emerging Contractor Development Programme (Vukuzakhe Programme for short) was formulated as a Black Economic Empowerment (BEE) Programme that seeks to alleviate poverty by creating jobs for historically disadvantaged South Africans.

This research analyses the implementation of the Vukuzakhe Programme by critically looking at the barriers to, and problems encountered with, the successful implementation of this programme.

1.3 Research objectives

This dissertation seeks to identify and describe the challenges to the successful implementation of the Vukuzakhe Programme. It particularly examines the admission, progression and exiting strategies of the emerging contractors within the Vukuzakhe Programme. The researcher is currently employed by the Department of Transport and is interested in the implementation of the Vukuzakhe Programme.

The main focus of this study is to identify and describe the implementation problems being experienced by the Vukuzakhe Programme. The section that follows details the broader issues that were investigated by the researcher of this programme. Key questions are stated under each of the broader issues.

The policy technique employed by the researcher to identify and describe the implementation problems of the Vukuzakhe Programme is program monitoring; sometimes referred to as process evaluation. This policy technique is discussed in detail in Section 2.6. The goal of program monitoring or process evaluation is to provide an examination of programme coverage as well as program delivery. Program monitoring also examines whether or not the delivery of the service of the programme is consistent with the programme's design specifications.

Below are the three broader issues that were investigated, and their key questions.

1. Exploring the admission criteria for the Vukuzakhe Programme:

- Is there a difference between the stated admission criteria and the actual admission criteria?
- Do emerging contractors receive a fair chance of being admitted into the Vukuzakhe Programme?
- What challenges do emerging contractors face as far as admission into the Vukuzakhe Programme is concerned?
- What are the causes these challenges?

2. Exploring the progress that has been made by the emerging contractors since they were admitted into the Vukuzakhe Programme:

- What are the criteria for moving (i.e. upgrading) emerging contractors from one stage in the Vukuzakhe Programme to the next?
- What are the criteria for deregistering emerging contractors from the Vukuzakhe Programme?
- How does the Department of Transport (DOT) monitor the progress of the emerging contractors?
- Are the emerging contractors progressing normally? If not, what are the reasons for this?

3. Exploring the exiting strategies of the programme:

- When are emerging contractors supposed to exit the programme?
- What are the barriers to exiting the programme?

- How many emerging contractors have exited the programme since its inception?
- Are those emerging contractors who have exited the programme coping in the open market?

1.4 Cognate studies on the Vukuzakhe Programme

It is important at this stage of the dissertation to mention other studies relevant to the topic area of the study. The purpose of this is to both locate the study within the broader body of knowledge and to also provide a fuller context of the study area. It is important to first note that the greatest difficulty experienced by the researcher was that there is not much literature available on the Vukuzakhe Programme specifically. The researcher managed to identify only two studies on the programme. These two studies were conducted by Maphanga (2003) and Mbonane (2005).

Maphanga (2003) examined the role of the Vukuzakhe Programme in achieving BEE. The aim of this study was to evaluate the Vukuzakhe Programme as a tool of empowerment, with particular focus on its target reach, skills transmission, sustainability and the “problem of false empowerment” (Maphanga, 2003:14). Maphanga used the survey method for evaluating the Vukuzakhe Programme. Maphanga’s findings revealed a link between the programme and success in the open labour market and thus subsequently showed that it helped with the empowering of the contractors.

The present research project addresses some of the recommendations emerging from Maphanga’s study. However, it will specifically look at the stages that an emerging contractor is supposed to go through in the Vukuzakhe Programme before exiting the programme and competing in the open market.

Another relevant study was conducted by Mbonane (2005) and examined emerging contractors in the low-cost housing delivery system in the city of

Johannesburg. The primary focus of Mbonane's study was to understand the cause of delays in the implementation of low-cost housing projects from a construction perspective.

Mbonane recommended that support and opportunities should be given to contractors' associations to enable their contractors to perform better. Mbonane also stated that as much as banks need to design flexible lending systems to accommodate emerging contractors, there is the need to educate small entrepreneurs about their obligations with regard to acquiring and repaying bank loans (Mbonane, 2005:40).

This research looks at the role of emerging contractors' associations and the impact they have on the development of emerging contractors. The researcher also pays attention to the support that is given to emerging contractors by the DOT, especially with regard to training on how to run a construction business. Furthermore, this study also looks at the role of the Construction and Industry Development Board (CIDB) and the initiatives that it offers to the Vukuzakhe Programme's emerging contractors. In addition, the researcher was interested in learning more about the targeted beneficiaries of the Vukuzakhe Programme and finding out if the DOT has been able to offer the construction business to its intended beneficiaries or whether the construction business is open to anyone, as was found in Mbonane's study.

1.5 Research methodology

This study used both the qualitative and quantitative methodologies (i.e. it made use of triangulation). Triangulation is "the application and combination of several research methodologies in the study of the same phenomenon" Neuman (2001:141). This research project used triangulation of the qualitative and quantitative methodologies to try and overcome the weakness or intrinsic biases and problems of single-method, single-observer, and single-theory studies.

The researcher employed purposive sampling when selecting DOT officials that are directly involved in the implementation of the Vukuzakhe Programme.

In terms of the data analysis, content analysis was used for analysing the qualitative data and the Statistical Package for the Social Sciences (SPSS) was used to analyse the quantitative data.

1.6 Conclusion

This chapter has provided a brief discussion as to the background of the study. It has described the research objectives of the study and its methodological approach. Similar studies in the area of this study were discussed.

In order to contextualise this study, Chapter 2 discusses the theoretical framework of the study. The policy cycle and policy in general is discussed. It also provides literature review on the theory of the specific policy technique that is applied to the case study i.e. process evaluation.

Chapter 2: Theoretical and Analytical Framework

2.1 Introduction

This chapter introduces the conceptual and analytical framework to the study. It begins by defining public policy then introduces the policy cycle with specific attention being paid to policy implementation. As this study analyses the implementation process of the Vukuzakhe Programme, this chapter will also discuss process evaluation.

2.2 Defining Public Policy

Policy is a concept that dominates our understanding of the ways we are governed. It is a concept that is used by a wide range of public figures (e.g. public officials, elected representatives, activists and experts) in their attempts to shape the way the public life is organised (Colebatch, 1998:01). Colebatch (1998:01) argues that policy operates prospectively rather than retrospectively, which is to say that there tends to be a great deal of interest in what politicians say they are going to do, but far less interest in whether they actually do it.

Hill (1997:06) defines policy as the "course of action utilized and followed by a government, party or ruler". Howlett and Ramesh (1995:04) define public policy as "a relationship between government units and its environmental setting". They view public policy as the decisions that are made by governments as to what they intend to do and what they intend not to do. On the other hand, Bouser, McGregory and Oster (1996:36) define public policy as the series of actions taken by a government and the functions and intentions behind those actions. Whilst Anderson (1997:14) argues that a government remains the lead agent in terms of public policy making, other politicians or interest groups may also attempt to influence the policy-making process. In other words, public policy making is viewed as the actions of a government in trying to combat certain perceived problems.

Moreover, Dye (1980:01) defines public policy as anything that a government chooses to do or not to do. He argues that the focus of public policy is not only on a government's actions but also on its inaction. It has been contended by Dye that a government's inaction can have just as great an impact on society as its actions. Anderson (1997:09) defines public policy as "a relatively stable, purposive course of action followed by an actor or set of actors in dealing with a problem or a matter of concern". Anderson criticises Dye's definition because Anderson argues that Dye's definition of public policy does not adequately recognise that what governments decide to do or say they will do and what they actually do may differ. Anderson's definition of public policy thus focuses on what is actually done instead of what is only planned or intended and as such his definition differentiates a policy from a decision. Anderson (1997:10) further argues that policies do not just happen but are designed to accomplish specific goals, although these goals are not always achieved.

Anderson (1997:10) further states that public policy emerges either as a result of public demands or as a result of those demands for action or inaction by government officials or agencies with regard to some public issue as made by other actors (e.g. private movements, legislatures and other public citizens). Anderson (1997:11) finally states that public policy is, in its form at least, based on law and as such is authoritative. Anderson (1984:254) argues that the aim and role of public policy is primarily to do with the shaping of human behaviour: "the objective of the public policy is to control behaviour (or secure compliance) and not to punish violators except as a last resort."

2.3 The Policy-Making Cycle

The policy-making cycle can generally be understood as being simply a system that policy goes through different yet interlinked stages. These stages are important in the development and pursuit of a goal. Colebatch (2002:49) says that "these stages are often presented not as a line, but as a circle suggesting that there is a natural progression from one stage to the next". The

stages in the public policy-making cycle correspond to the stages involved in applied problem solving, as suggested by Howlett and Ramesh (1995:11) and Kingdon (1995:03). Laswell, as cited in Howlett and Ramesh (1995:11), describes the policy cycle as an ongoing cycle, from birth to death, but also says that it seems to recur in slightly different guises, as one policy succeeds another with minor or major modifications. Howlett and Ramesh (1995:11) show the stages in the policy process to be: the identification of policy problem; agenda setting; policy formulation; decision-making; policy implementation and policy evaluation as depicted in Figure 1 below.

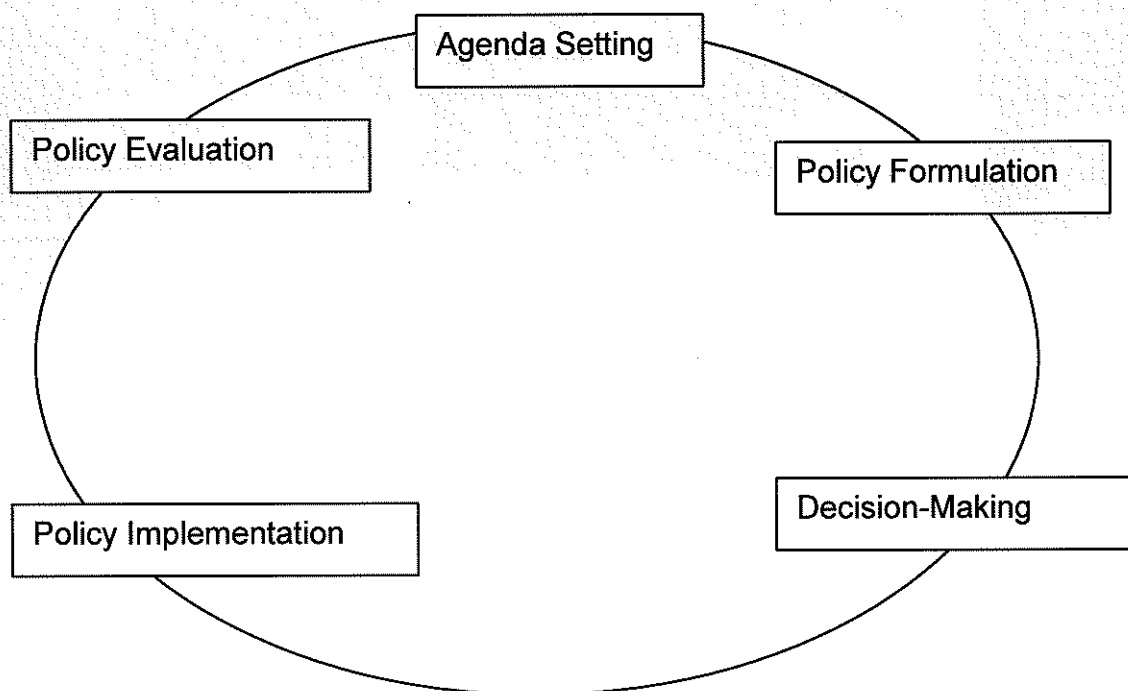


Figure 1: The Policy-making cycle (adapted from Howlett and Ramesh, 1995:11)

However, policy makers and implementers do not go about making and implementing policies in as systematic a manner as the model above seems to suggest. According to Howlett and Ramesh (1995:12), the advantage of employing the cycle is that it facilitates an understanding the public policy process by breaking it down into sub-processes, each of which can be

investigated alone or in terms of its relationship with the other stages of the cycle. This study, however, focuses on policy implementation, and thus only policy implementation is discussed in detail in the next section.

2.4 Defining Policy Implementation

"All public policies are aimed at promoting some aspects of public welfare" (Hanekom, 1987:55). This means that public policy making and prescribed guidelines for political and administrative conduct has a normative and directional effect on political aims and on the administrative realisation of those plans. Howlett and Ramesh (1995:11) define policy implementation as "the process by which government put policies into effect". Pressman and Wildavsky (1973:xiii) view policy implementation as "a process of interaction between the setting of goals and actions geared to achieve them". In other words, implementation is the stage in the policy cycle when policy objectives are put into action. Colebatch (1998:55) argues that policy is as much about the choosing of the goals as it is about the choosing of the means for accomplishing those goals. However, if something different happens on the ground (i.e. the objectives are not implemented as intended), the implementation process fails. Colebatch (1998:58) further argues that for policy implementation to be successful, all the stakeholders (i.e. those who may have vested interest in the success of the policy) need to be involved.

2.4.1 Schools of thought within policy implementation

Colebatch (1998:60) argues that policy implementation consists of two schools of thought, namely the top-down and bottom-up approaches. Hill and Hupe (2002:48) view these policy implementation approaches as methods by which policies are implemented in the public sphere. Elmore (1985), as cited in Parsons (1995:488) stresses that two frameworks need to be deployed when analysing implementation: backward mapping (related to the bottom-up approach) and forward mapping (related to the top-down approach). Elmore (1985) also argues that policy making, if it is to be successfully implemented must adopt multiple frameworks. This means that, "each approach or theory

gives some insight into a particular dimension of the reality of implementation” (Parsons, 1995:489).

2.4.2 The top-down approach

The top-down approach is a form of authoritative decision-making that imposes the implementation of a policy on subordinates (Hill and Hupe, 2002:48). Anderson (1997:215-216) similarly defines the top-down approach as “the approach that involves a transfer of instructions to the lower levels without authority to change or take decisions on implementation”. In other words, those in a position of power (i.e. those at the top level of government) impose how a policy should be implemented on the bureaucrats at the lower levels of government who are supposed to implement these decisions without being able to give any input with regard to the policy they are implementing. In essence, the top-down approach is an implementation strategy that is imposed on people without involving them in the policy-making decisions of the implementation process.

Hood (1976), as cited in Parsons (1995:465), outlines the following five conditions for perfect policy implementation in this approach:

- The ideal implementation is the product of a unitary, army-like organisation that has clear lines of authority. This implies that there needs to be a clear hierarchy with a clear and good chain of command.
- Perfect policy implementation requires that the norms are enforced and the objectives are vocalised, which is to say that people need to know what they are required to achieve.
- Perfect policy implementation requires that people do what they are told.
- Perfect policy implementation requires that there be perfect communication in and between the units of an organisation. This is related to having clear lines of command and a clear understanding of

the objectives. In other words, people need to understand what is it that they are supposed to achieve.

- The final condition for ideal implementation is that there must be no pressure with regard to time (i.e. there is sufficient time available to do what needs to be done).

Adding to this, Dunshire (1990:115), cited in Parsons (1995:466), critiques this approach, "where implementation has failed, that is where a policy objective has not been achieved, the failure may be linked to factors such as the selection of wrong 'machinery' or 'instruments'; the programming of the bureaucracy was incorrect; operationalisation was poor; something went wrong at the top 'shop floor level' or there was a poor response to problems."

Moreover, Howlett and Ramesh (1995:156-157) argue that the top-down approach is a way in which administrators can carry out decisions and find the reasons behind the extent of the implementation process. In other words, it is the government that decides on the policies to be implemented and it must therefore impose those policies on those at grassroots level or on those who are not in power. In the top-down approach, the views of those who are not in power are not valued but rather are undermined.

2.4.3 The bottom-up approach

The top-down approach has been criticised for placing too much emphasis on the definition of goals as set by those at the top and not on the role of the people on the ground. As Parsons (1995:467) indicates, the top-down approach deliberately excludes any consideration of how real people actually behave. Lipsky (1980:14-20) shows how the bottom-up approach allows a focus on how policy implementers execute a policy, as opposed to the instructions they must follow. That is to say, this approach is concerned with the activities of the 'street-level bureaucrats'. As explained by Hill (1997:140), the bottom-up approach focuses on outputs (or outcomes) rather than on inputs. One focal area of this approach is on the manner in which street-level bureaucrats conduct their responsibilities.

Lipsky (1980:3) defines a street-level bureaucrat as "a public worker who in their jurisdiction of employment, interact directly with citizens and has considerable discretion in the execution of their work". Lipsky (1980:13) states that street-level bureaucrats "have considerable discretion in determining the nature, amount and quality of benefits and sanctions provided by their agencies". They are primarily policy entrepreneurs, political and administrative officials who can shape dimensions of public policy and its implementation. Street-level bureaucrats reformulate policies through the choices that they make, which are made with reference to occupational and community norms (Lipsky, 1980).

Weimer and Vining (2005:283) further argue that the bottom-up model does not allow for a single solution but rather offers alternatives towards particular outcomes. This means that organisational interactions occur at the bottom, between street-level bureaucrats and civilians for an example, in order to make the policy flexible, clear and understandable. Parsons (1995:469) adds that: "what is really important is the relationship of policy-makers to policy deliverers". Alice, as cited in Parsons (1995:469), argues that the idea of the bottom-up approach process involves negotiations and consensus. Alice further states that negotiations and consensus involve the management skills and cultures of the organisations involved in implementing public policy, and the environment in which they have to work. This study shall examine the role of the people involved in the implementation of the programme and thus is concerned, in part, with the actions of such street level bureaucrats.

2.4.4 Challenges to policy implementation

According to Anderson (1984), policy implementation is mainly affected by the condition of the local economy, the attitudes of local officials, the actions of clients, politics, policy-making patterns, administrative structures, and one's implementation techniques. To avoid implementation problems such as misunderstandings, displeasure and ignorance, Weimer and Vining suggest two general approaches that provide a useful framework for thinking

systematically about implementation. These approaches are forward mapping (top-down) and backward mapping (bottom-up) (Weimer and Vining, 2005:280). The problem with both of these approaches (i.e. forward mapping and backward mapping) is that they tend to over-simplify the sheer complexity of implementation. Parsons (1995:4) believes that "whether the mode of implementation is top-down or bottom-up, those on the front line of the policy delivery have a varying band of discretion over how they choose to exercise the rules they are employed to apply" and that "the preference of the top-down models is for tiers, hierarchies, control and constraints, whereas for bottom-up models spheres, networks or markets constitute a more desirable state of affairs" (Parsons, 1995:488).

There are a number of reasons why policies fail. Weimer and Vining (2005:275) argue that there are three factors that affect the success or failure of policy implementation. These factors include: the logic of the policy; the nature of the cooperation it requires; and the availability of skilful and committed people to manage its implementation. Hogwood and Gunn, as cited in Hill (1997:219), argue that policies sometimes fail not because they are badly implemented but because they are simply bad policies. This means that the policy design might be inappropriate or that the policy is based upon an inadequate understanding of the problem needing to be solved, its causes and cure, its nature, and what needs to be addressed.

Colebatch (1998:52) states that policy implementation problems often arise due to inadequate resources (such as funds, capacity and the power or authority to implement a decision). Policy implementation is affected by various internal and external circumstances, such as a change in leadership. Dorner and Shafie (1980:483) argue that it is very important that a policy implementation strategy be flexible enough to adapt to the changing political context and the circumstances in which it exists. Pressman and Wildavsky (1973:136) also argue that implementation failure can result "from over-estimation of what can be accomplished or from under-estimation of ability to implement". Programmes can at times be initiated under an aura of emergency, when the conditions seem so harsh that people find themselves

compelled to act quickly. Economic problems and the potential for social distress and political instability may cause policy makers to act with a sense of urgency.

As can be seen by the above, policy implementation is examinable from a number of perspectives and is fraught with challenges which may impede success.

2.5 Street-Level Bureaucrats

The discussion in Section 2.4.3 on the bottom-up approach, street-level bureaucrats was briefly mentioned. Lipsky (1980:14) has argued that street-level bureaucrats are policy implementers on the ground (i.e. they are the ones who carry out the mandate of the government). Lipsky (1980) further argues that street-level bureaucrats often spend their work lives in a 'corrupted world of service'. Lipsky points to a few issues that cause street-level bureaucrats to operate in a corrupted world of service, such as the fact that limited resources restrict the number or types of activities that street-level bureaucrats can actually accomplish. Lipsky further argues that street-level bureaucrats operate in an environment that condition the way they perceive problems and form solutions to them.

Moreover, Lipsky (1980:20) discusses two ways that street-level bureaucrats are characteristically provided with fewer resources than are necessary for workers to do their jobs properly. Firstly, there is the issue of the ratio of workers to clients or cases, and the issue of time. Secondly, there is the issue of supply and demand; Lipsky (1980:33) states that the "distinct characteristic of the work setting of the street-level bureaucrats is that the demand for services tends to increase to meet supply". This leads in turn to a questionable quality of service being provided to the clients. Lipsky (1980) further adds that another problem is the non-voluntary nature of street-level bureaucrats' interactions with clients. Street-level bureaucrats are often criticised for structuring their meetings with clients in ways that best suit them and the consequences of such set-up are serious. To make matters worse,

clients often cannot discipline street-level bureaucrats and so street-level bureaucrats have nothing to lose by failing to satisfy the client. Street-level bureaucrats can even get away with abusing clients (Lipsky, 1980:55-56). Lipsky further argues that power can thus be seen as residing with street-level bureaucrats, who can reward one client, sanction another, and demand compliance from all simply based on their whims or inclinations.

Finally, Lipsky (1980) talks about goal ambiguity in terms of street-level bureaucrats' inability to meet the goals set for them and perform according to their job prescriptions. Lipsky states that the goals of the client and that of their superiors are not always similar and this often results in frustrations and confusion.

Lipsky (1980:83) argues that street-level bureaucrats need to develop patterns of practice that will limit demand, maximise their utilisation of the available resources, and obtain client compliance that is over and above the procedures developed by the agencies. Street-level bureaucrats need to modify their concept of their jobs so as to reduce the gap between the available resources and their achieving of policy objectives. They also need to modify their concept of the raw materials with which they work in order to make more acceptable the gap between their accomplishments and the objectives that have been set for them.

As this dissertation is aimed at identifying and describing the barriers to and problems involved in the implementation of the Vukuzakhe Programme, it is vital at this stage to outline the analytical framework upon which this study is based, namely process evaluation, which is commonly called program monitoring by Rossi and Freeman (1989). A clear understanding of program monitoring will therefore guide the analysis of the data that was gathered to answer the research questions.

2.6 Program Monitoring or Process Evaluation

Rossi and Freeman (1989:170) define program monitoring as "the systematic attempt by evaluation researchers to examine program coverage and delivery". Rossi and Freeman further argue that the most basic and essential way of program monitoring is to review progress in terms of the project plan or work plan. They also argue that an effective monitoring plan begins with a good project plan or work plan. Outcomes are more important than inputs, which is to say that it is the results that count because monitoring for results simplifies the monitoring process. Complementing Rossi and Freeman's program monitoring definition is Posavac and Carey (1997:2), who define program monitoring as "ensuring whether the service is offered as planned". Posavac and Carey further clarify this definition by saying that the problem with planned programmes is that some are never implemented or are implemented in such a diluted fashion that those in need receive no or minimal benefit. The greater the distance between the planners and the potential beneficiaries of the program, the greater the possibility of there being misunderstanding. This study thus also looks at the communication that exists between emerging contractors and the implementers of the Vukuzakhe Programme to identify whether or not there are any gaps or misunderstandings as far as the implementation of the Vukuzakhe Programme is concerned.

Rossi and Freeman (1989:166) argue that the monitoring of program is directed by three key questions, namely:

- 1) To what extent is the program reaching the appropriate target population? In other words, is it serving those whom it is supposed to serve (i.e. the intended beneficiaries)?
- 2) Is the delivery of the service consistent with the program design specification?
- 3) What resources are being or have been expended in the conduct (i.e. the carrying out) of the program?

As was discussed in Chapter 1 under section 1.3 on research objectives, the main objective of this study was to critically identify and describe the implementation problems experienced by those (both implementers and beneficiaries) involved in the Vukuzakhe Programme. Rossi and Freeman's key questions, as referenced above, will thus be used as a loose basis for the analysis of the findings to do with the implementation problems of the Vukuzakhe Programme. In other words, the researcher used these key questions to determine whether or not the Vukuzakhe Programme's implementers are ensuring that the objectives of the programme are actually being met.

Rossi and Freeman (1989) further argue that program monitoring is an essential evaluation activity because the failure of a programme reveals that its implementation is faulty or incomplete not that a programme is ineffective. Without adequate program monitoring it is impossible to estimate the extent to which an initiative and its specific program elements or treatments are or are not efficacious.

Rossi and Freeman (1989) further argue that there are different perspectives on program monitoring. There should, however, be a considerable overlap in the purposes behind program monitoring, regardless of whether they are driven by the information needs of evaluation researchers, program managers and staff, or policy makers, sponsors and stakeholders. Monitoring activities should ideally be undertaken so as to meet the information needs of all these groups. Rossi and Freeman (1989) argue that monitoring from the evaluator's perspective means knowing what took place in order to explain why a program did or did not work.

Monitoring from an accountability perspective is also critical for those who sponsor and fund programs. The primary issue from an accountability point of view is that there needs to be accountability as to who is getting what, how they are getting it, and at what price or cost. The other perspective is that of management, which is vital during both implementation and the pilot testing of

innovative programs. Rossi and Freeman (1989) argue that no matter how well planned innovative programs may be, unexpected results and unwanted side effects often surface early in the course of implementation, and program managers and designers need to know rapidly and fully about these problems so that changes can be made as soon as possible to the design of the program. Monitoring at the inception of the programme is a vital part of formative evaluation. Managers who neglect to monitor a program fully and in a systematic fashion risk the danger of not knowing whether the program was implemented as initially planned by policy makers.

Moreover, Rossi and Freeman (1989) argue that it is vital to monitor target participation. In other words, it is vital to monitor the coverage and bias of a program. Rossi and Freeman (1989) say this is important because issues of target participation consist of problems of coverage and bias. Rossi and Freeman (1989:182) define coverage as "the extent to which participation by the target population achieves the levels specified in the program design". They define bias as "the degree to which subgroups of the target population participate differently" (1989:182). Therefore the bias in coverage means certain sub-groups are being covered more thoroughly than are others. Rossi and Freeman (1989) further argue that bias may arise out of self-selection; in other words, some sub-groups may voluntarily participate more frequently than others. Bias can also be derived from programme actions. For example, programme personnel may respond favourably to some clients whilst rejecting others.

Rossi and Freeman (1989) further argue that it is important when monitoring program coverage to measure the forms of coverage. More specifically, one should measure both under coverage (i.e. failure to achieve full target participation either because of bias in the way participants are recruited or because potential clients reject the treatment) as well as over coverage (i.e. exceeding the original targets of the program population). Furthermore, Rossi and Freeman (1989) argue that when monitoring target participation, the monitoring of program records is useful because almost all programs are required to keep records on the target served. This information is useful in

accounting for resources expended and the time spent on the project by the project staff. The other technique of monitoring the target participation is to conduct a survey of the program's participants. Since it may not be possible to survey all the participants of a program, Rossi and Freeman suggest that it is more economical and efficient to undertake a sample survey. Another useful suggested by Rossi and Freeman (1989) is the community survey, but it is only applicable to those programs that take in entire communities (i.e. are not limited to selected and narrowly defined groups of people).

Freeman (1989) further argue that when monitoring program implementation it is important to monitor the delivery of services so that one can decide about whether or not to continue or expand the program. They state that the extent to which program specifications are followed during the intervention must be fully documented for monitoring purposes. They also contend that there are a number of factors that affect the delivery of services to evaluate the actual effectiveness of the intervention to be undertaken. For example, Rossi and Freeman (1989) list the following three reasons for implementation failure:

1. The intervention is not delivered.
2. The intervention is not standardised and

3. The intervention is not implemented as intended.
4. There are two main reasons for implementation failure and specification of

the reasons for implementation failure and organizational factors that affect the delivery of services to evaluate the actual effectiveness of the intervention to be undertaken. For example, Rossi and Freeman (1989) list the following three reasons for implementation failure:

area of the desired participants and then assuming that they will come naturally to access the services provided at that site.

In terms of specification of services, Rossi and Freeman (1989:199) further argue that in both the planning and implementation phases, it is critical to specify in operation (i.e. measurable) terms the actual services that have been provided. That is to say, it is important to define the program's elements in terms of who is getting what, when and at what cost. Here the task, as seen by Rossi and Freeman (1989), is to determine each kind of service in terms of the activities that take place and/or in terms of the types of participation by the various providers. Rossi and Freeman (1989:209) also add that sometimes there is the disadvantage that a project's staff can occasionally interpret a particular service differently from a program's designers or evaluators.

With regard to program participant data, Rossi and Freeman (1989) explain that this is when a monitor obtains data on program participants themselves. They argue that such information is valuable for a number of reasons, namely:

- This information may be necessary so providers can know what is important to the clients, including their satisfaction with and understanding of the intervention.
- Such information may be the only way of finding out what was delivered.
- Such information provides different perspectives with regard to what is being offered.

This chapter served to introduce some conceptual and analytical issues that relate to the study at hand. A delineation of policy as concept and practice was presented, various perspective and approaches to understanding implementation and implementation failure were detailed, a discussion of the role of street level bureaucrats was expounded on and an introduction to the logic and scope of process evaluation as a pragmatic analytical tool was

presented. The issues raised in this chapter will serve to frame and understand the data generated by the study.

The following chapter 3 discusses the case study in more detail and provides an overview of the data collected.

Chapter 3: Case Study Component

3.1 Introduction

This chapter details the legislative framework of the Vukuzakhe Programme and discusses its origins. The researcher starts by describing the general background to, and formation of, the Vukuzakhe Programme. Next, a broad discussion is provided of BEE as a national policy framework, after which more detail is provided as to KwaZulu-Natal Department of Transport's specific BEE strategy, especially as it concerns the Vukuzakhe Programme. The findings and analysis of the study are also discussed in detail in this chapter, with particulars being provided as to the research methods and sampling strategies that were employed in the study.

3.2 Background to Black Economic Empowerment (BEE)

BEE has been a priority on the government's agenda since South Africa's first democratic elections in 1994. The government that was elected in 1994 – the African National Congress (ANC) – felt it necessary to deal with the legacy of apartheid. The government recognised that the majority of people in South Africa, especially blacks, have, for many years, been deprived of social and economic influence within society. One of the central pillar of this intervention has been, and still is, BEE.

3.3 Defining Black Economic Empowerment

BEE was formed in the wake of the democratic elections of April 1994. Whiteford (2005:4) defines Black Economic Empowerment as "the transformation of economic structures in favour of previously disadvantaged people in South Africa". The preamble to the Financial Sector Charter on Black Economic Empowerment (2007:4) defines BEE as "a mechanism aimed at addressing inequalities and mobilizing the energy of all South Africans that will contribute towards sustained economic growth, development and social

transformation in South Africa". To achieve the objectives of BEE, the government utilises a number of policy instruments, which include legislation and regulation, preferential procurement, institutional support, and financial and incentive schemes (Department of Trade and Industry: South Africa's Economic Transformation, 2003:3).

However, BEE has since been diffused and replaced by Broad-Based Black Economic Empowerment (BBBEE). BEE was criticised for not having a comprehensive strategy that draws together the various elements of the government's transformation programme in a coherent and focused manner (Department of Trade and Industry: South Africa's Economic Transformation, 2003:11). The Department of Trade and Industry (DTI) argued that the definition of BEE is unclear, which is to say that the definition had in effect come to mean everything and nothing at the same time. The DTI argues that there has been unnecessary confusion as to the definition of who is 'black'. It believes that for BEE to be a meaningful programme, it has to be more precisely defined (DTI: South Africa's Economic Transformation, 2003:11). The DTI further states that the challenge with regard to defining BEE is finding the appropriate balance between a too broad definition and an overly narrow one. For instance, defining BEE too narrowly limits it to a set of transactions that transfer corporate assets from white owners to black owners, whereas defining BEE too broadly equates BEE with economic development and transformation in general (DTI: South Africa's Economic Transformation, 2003:12).

3.4 Black Economic Empowerment Commission

The Black Economic Empowerment Commission was initiated in November 2007 at a conference held by the Black Management Forum. The Black Management Forum (BMF) is an independent non-governmental organisation that supports the development of managerial leadership and the transforming of organisations (Enterprise, 2003:16). The BEE Commission was established in May 1998 by the Black Business Council, an umbrella body that represents black business organisations, of which the BMF is a part. The BEE

Commission was established with the recognition that the empowerment process has to be conceptualised, controlled and driven by the private sector, from which black people and women are still essentially excluded (BEE Commission, 2001:67). The BEE Commission was given a mandate to investigate the success of the BEE progress thus far, identify the barriers to the process, and make recommendations for the future (Enterprise, 2003:16).

In April 2001, the BEE Commission released its first report to the then President of South Africa, Mr Thabo Mbeki. One of the recommendations that was made by the BEE Commission in its report was that true broad-based empowerment needs to be undertaken in order to create employment for the presently unemployed masses. However, this recommendation stands in contrast to previous BEE endeavours, which tended to enrich the black elite whilst doing little or nothing to empower the vast majority of black South Africans.

The BEE Commission came up with its own definition of what constitutes Black Economic Empowerment. The BEE Commission defined BEE as follows:

- "It is an integrated and coherent socio-economic process.
- It is located within the context of the country's national transformation programme, the RDP (Reconstruction and Development Programme).
- It is aimed at redressing the imbalances of the past by seeking to substantially and equitably transfer and confer the ownership, management and control of South Africa's financial and economic resources to the majority of its citizens.
- It seeks to achieve sustainable development and prosperity." (BEE Commission, 2001:2)

There were those who complained that the report of the Commission was neither clear nor specific. Some remonstrated that more than two thirds of the BEE Commission's proposals were already in various stages of

implementation. The government further argued that many issues raised by the Commission can be addressed by using the existing legislative and institutional framework and that there is no need to formulate new laws, as was suggested by the Commission (Enterprise, 2002:42).

3.5 Broad-Based Black Economic Empowerment

The Broad- Based Black Economic Empowerment Act 53 of 2003:4 defines Broad- Based Black Economic Empowerment (BBBEE) as "the economic empowerment of all black people including women, workers, youth, people with disabilities and people living in rural areas through diverse but integrated socio-economic strategies that include, but are not limited to:

- Increasing the number of black people that manage, own and control enterprises and productive assets;
- Facilitating ownership and management of enterprises and productive assets by communities, workers, co-operatives and other collective enterprises;
- Human resources and development;
- Achieving equitable representation in all occupational categories and levels in the workforce;
- Preferential procurement; and
- Investment in enterprises that are owned or managed by black people."

The BBBEE Act (No. 53 of 2003:4) further states that the objectives of BBBEE are:

- "Promotion of economic transformation in order to enable meaningful participation of black people in the economy;
- Achieving a substantial change in the racial composition of ownership and management structures and in the skilled occupations of existing and new enterprises;

- Increasing the extent to which communities, workers, cooperatives and other collective enterprises own and manage existing and new enterprises and increasing their access to economic activities, infrastructure and skills training;
- Increasing the extent to which black women own and manage existing and new enterprises, and increasing their access to economic activities, infrastructure and skills training;
- Promoting investment programmes that lead to broad-based and meaningful participation in the economy by black people in order to achieve sustainable development and general prosperity;
- Empowering rural and local communities by enabling access to economic activities, land, infrastructure, ownership and skills; and
- Promoting access to finance for black economic empowerment."

3.6 The BEE policy of the KwaZulu-Natal Department of Transport

The Department of Transport in KZN defines BEE as "a government intervention to address the systematic exclusion of the majority of South Africans from full participation in the economy" (BEE Policy for Department of Transport 2004:6). The KZN DOT has a systematic and coherent approach by which it implements BEE. The framework of KZN DOT is underpinned and informed by national policy parameters and priorities. The DOT has helped achieve democracy through its creation of programmes to do with infrastructure, public transport and road safety. The Vukuzakhe Association was one of the first structures created by the KZN DOT that is aimed at the economic transformation of both the construction and transportation industries. The Vukuzakhe Association therefore took a bold step in fast-tracking the unit and ensuring that the voice of black businesses is better heard by both the public and private sectors (BEE Policy for Department of Transport, 2004:4). According to the KZN DOT, such initiatives have reduced the window dressing within these industries, since black businesses can now easily access support from KZN DOT and they can together strive to eliminate the blockage within government procurement systems.

The KZN DOT has further stated that the goals of its BEE policy are:

- To redress the results of past or present discrimination based on race, gender or disability of historically disadvantaged persons within the public transport sector, related industries and in the value chain of such industries;
- To provide a common vision for implementing BEE through the various programmes of the department;
- To ensure coordination of all BEE activities within the department (e.g. training and development);
- To develop a learning and knowledge management capacity in the department for the enhancement of BEE delivery;
- To ensure adequate resourcing (e.g. financial and human) for effective BEE implementation;
- To develop an ongoing understanding of the political, socio-economic and technological realities within the province and beyond in order to better inform the department's BEE policy implementation (BEE Policy for the Department of Transport 2004: 5-6).

3.7 The Vukuzakhe Programme as a BEE Programme

The Vukuzakhe Emerging Contractor Development Programme was initiated by the KZN DOT for economic empowerment purposes. The Vukuzakhe Programme was established with the focus of helping to develop those emerging contractors that are expected to become functional Small Medium and Micro Enterprises (SMMEs). The KZN DOT aimed at transforming the road infrastructure sector of construction industry by developing a new pool of contracting capability by ensuring active involvement of vulnerable groups such as women, the youth, people living with disabilities and also co-operatives.

The Vukuzakhe Programme was piloted in 1994 as part of the Roads for Rural Development Programme, which then had a budget of only R3 million. The Vukuzakhe Programme defines an emerging contractor as "an enterprise

owned, managed and controlled by black, previously disadvantaged individuals and which is overcoming business impediments arising from the legacy of apartheid" (KZN DOT Vukuzakhe Policy, 2002:4). The Vukuzakhe Programme forms a critical pillar of the larger KZN DOT's larger strategy to reverse the spatial inequalities of apartheid planning and, at the same time, create new opportunities in terms of enterprise development and job creation. According to the KZN DOT Vukuzakhe Policy (2002:3), the Vukuzakhe Programme was designed to provide the necessary support to emerging contractors so that they might eventually compete within the open market. As is emphasised in the KZN DOT Vukuzakhe Policy (2002), the objectives of the Vukuzakhe Programme are:

- To promote and support affirmable businesses (i.e. facilitate the ability of emerging contractors who were previously disadvantaged as a result of race, gender or disability to compete for work in an open SMME and broader market and to ensure that those who have been through the programme are thereby enabled to become sustainable businesses.
- To promote equity within the civil contracting sector, with the aim of developing economic empowerment, with focus being on previously disadvantaged individuals. This economic empowerment will entail the creation of more employment opportunities and the development of more entrepreneurs.
- To promote sustainable business development, with the focus being on empowering contractors to grow into entrepreneurs and be able to leave the programme and successfully compete on the open market (KZN DOT Vukuzakhe Policy, 2002:4-5).

The KZN DOT Vukuzakhe Policy 2002 states that for an emerging contractor to be admitted into the Vukuzakhe Programme rigorous interviews are conducted by the DOT officials. The interviews are designed to establish skills levels, and ensure that the business is genuine and that it meets the objectives of the programme. Tender contracts are only awarded to emerging

contractors who are on the KZN DOT database. At the time of conducting this study there were 37 000 emerging contractors in the KZN DOT's Vukuzakhe Programme database. The Vukuzakhe Policy 2002 states that the advertising of tenders is granted by the Regional Bid Award Committee (BAC) and approves advertising of tenders in at least the Tender Bulletin and other appropriate newspapers. These are tenders from stage 2 onwards and emerging contractors are required to pay for their tender documents. However, stage 1 tenders are posted on the notice boards of the various cost centre offices of the department, the Vukuzakhe Association offices and district offices of the department.

The Vukuzakhe Programme is a four-stage advancement programme that facilitates in the growth and development of small businesses. Each stage of advancement is characterised by higher levels of risk to the contractor and the removal of support mechanisms by the Department. In other words, the level of support given by the DOT to the emerging contractor is decreased as he/she progresses through the various stages. In stage four, the emerging contractor eventually competes on an open market.

The four-stage advancement programme is as follows:

- Stage 1A: maximum value of the contract = R50,000.
- Stage 1B: maximum value of the contract = R200,000.
- Stage 2: maximum value of the contract = R500,000.
- Stage 3: maximum value of the contract = R1,000,000.
- Stage 4: maximum value of the contract = R5,000,000.

At this stage of the case study it is important to detail the research methods that this study used as well as the findings and analysis of the data that was collected.

3.8 Research Methodology

3.8.1 Research methods

In order to fully address the research questions, this study used both the qualitative and quantitative methodologies (i.e. it made use of triangulation). Triangulation is "the application and combination of several research methodologies in the study of the same phenomenon" (Neuman, 2001:141). Arksey and Knight (1999) regard triangulation as a strategy to overcome problems of validity and bias. Arksey and Knight (1999:23) further argue that triangulation may vary in nature depending on that for which it is used. Arksey and Knight (1999) mention four types of triangulation, namely, methodological triangulation, data triangulation, investigator triangulation, and theoretical triangulation. This study has made use of methodological triangulation, which refers to "the use of a research design drawing on a variety of methods to collect and interpret the data". These methods can be within-method triangulation or between-method (or across-method) triangulation. This study has used between-method triangulation. Arksey and Knight (1999:23) define between-method triangulation as "where two or more distinct methods (i.e. qualitative and quantitative methods) are employed to measure the same phenomenon, but from different angles". The rationale behind between-method triangulation is that the cumulative weaknesses of one research method are offset by the strengths of the other methods.

This study has used triangulation of the qualitative and quantitative methodologies to try and overcome the weakness or intrinsic biases and problems that arise from single-method, single-observer and single-theory studies. The researcher hopes that triangulation of the qualitative and quantitative in this research study will also help her obtain confirmation of her findings through the convergence of different perspectives. In other words, the combination of qualitative (i.e. validation) and quantitative will assist the researcher in avoiding common errors that create unreliable and invalid data. Neuman (2001:141) argues that triangulation ensures reliability and validity in

measurement and helps the researcher to become aware of specific instances in which pitfalls are likely to occur in the measurements of concepts.

3.8.1.1 Qualitative methods

The qualitative method is a method of study that displays, analyses, summarises and interprets words and images based on the information obtained (Neuman, 2000:87). Marlow (1993:67) argues that the "qualitative approach may be more effective because the answers can provide a detailed description of the program". In-depth interviews (i.e. face-to-face interviews) were employed by the researcher to collect primary data from DOT officials (i.e. the manager of economic empowerment who is in charge of the Vukuzakhe construction industry and officials in charge of the Vukuzakhe database and Vukuzakhe tenders). The data that was gathered through these interviews helped the researcher to discover what people feel about the Vukuzakhe Programme. The researcher also investigated the views of officials as far as the implementation of the Vukuzakhe Programme is concerned. Rubin and Rubin (1995:01) state that the qualitative interview is "a way of finding out what others feel and think about their world". McKenzie (1997:165) insists that it is through qualitative interviews that the researcher can come to understand peoples' experiences, access past events, extend his/her intellectual reach across time and space and construct events in which he or she did not participate.

Neuman (2000) has also argued that qualitative research seeks to understand a given problem or topic from the perspective of the local population it involves. In this study, DOT officials were interviewed as being the people responsible for implementing the Vukuzakhe Programme.

A semi-structured interview guide with open-ended questions was used to gather comprehensive qualitative data for this study. Open-ended questions do not suggest specific answers or attempt to influence respondents' answers. Open-ended questions impose no limits on the range of responses that a respondent can give (Neuman, 2000:261). The other advantage to

using open-ended interviews, as mentioned by Brewerton and Milward (2002:70), is that open-ended interviews are flexible and can generate detailed data. The other important advantage that Brewerton and Milward (2002: 70) mention is that open-ended questions give room for further exploration by the interviewer, and they allow for deeper probing into areas of interest.

3.8.1.2 Quantitative methods

Quantitative research relies primarily on assumptions. It uses the language of variables, hypotheses, units of analysis and causal explanations (Neuman, 2000:96). The survey is employed for gathering quantitative data from respondents. Neuman (2000) describes the survey as research that involves the researcher asking people questions by way of a written questionnaire (which can be mailed or handed to the respondents) or an interview and then recording the answers. He further states that in a survey, the respondents simply answer questions without there being any manipulation of the process by the researcher (Neuman, 2000:28). Neuman (2000) explains that when conducting a survey, the researcher selects a sample of people but generalises the results to the larger group from which the smaller group was chosen. During the time of this study there were 37 000 emerging contractors in the KZN DOT's Vukuzakhe Programme database. For this study, the samples of twenty respondents were selected from the database of the Vukuzakhe Programme who are all in different stages of the programme. Out of the twenty selected sample, ten emerging contractors agreed to participate in the interviews. The results of the interviews were not generalised to the larger group of emerging contractors because the sample used was small. However, the information gathered from the interviews was very informative as far as the implementation process of the Vukuzakhe Programme is concerned. A structured, self-administered questionnaire was used to gather data from the emerging contractors.

3.9 Population, Sample and Sampling Procedures

There are two types of sampling methods, namely probability and non-probability sampling. Babbie (2004:083) defines probability sampling as "random sampling that is selected from the list containing the names of everyone in the population being sampled" and non-probability as "social research that is often conducted in situations that do not permit the kinds of probability samples used in large scale surveys".

3.9.1 Sampling

Sampling is the process of selecting respondents who can provide the required information about the topic under investigation (Babbie and Mouton, 2001:168). Purposive sampling was employed for this study. The interviewer intended to interview five officials from the DOT who are directly involved in the implementation of the Vukuzakhe Programme. These officials included the manager of economic empowerment, two deputy managers, one assistant manager and one data capturer who deals with the Vukuzakhe Programme's database. Purposive sampling, as detailed below, is the process of selecting informants/participants on the basis of the researcher's knowledge of the population and the nature of the research aims (Babbie and Mouton, 2001:166).

3.9.1.1 Purposive sampling

Babbie (2004:183) defines purposive (or judgmental) sampling as "a type of non-probability sampling in which you select the units to be observed on the basis of your own judgment about which ones will be the most useful or representative". In other words, purposive sampling is when a sample is selected on the basis of the researcher's knowledge of a population, its elements, and the purpose of the study.

The qualitative data respondents in this study were officials from the DOT's Economic Empowerment Directorate who are directly responsible for the

implementation of the Vukuzakhe Programme. Three out of five officials agreed to participate in the interviews. Nevertheless, the data that was gathered from those three officials was very informative as far as the Vukuzakhe Programme is concerned. Therefore the sampling that was used was purposive.

3.9.1.2 Random sampling

The Vukuzakhe emerging contractors that were used in this study were randomly selected from the KZN DOT's Vukuzakhe Programme database. The researcher requested a list of emerging contractors from the Economic Empowerment Directorate, which is the primary body responsible for registering the emerging contractors and implementing the Vukuzakhe Programme. The list that was compiled paid no heed to the stage of advancement of the emerging contractors. Out of the twenty emerging contractors that were on the list, ten agreed to participate in this research study. Of the ten emerging contractors who agreed to participate in the interviews, one withdrew his participation when he felt that the questions were becoming too personal but agreed that the researcher can use the data already gathered from him.

Random sampling basically means that each element or person has an equal chance of being selected irrespective of any other event in the selection process (Babbie, 2004:190). Babbie (2004:190) argues that the reasons for using random sampling are twofold, namely:

1. Random sampling serves as a check on any conscious or unconscious biases on the part of the researcher.
2. Random sampling offers the researcher access to the body of probability theory that provides the basis for estimating the characteristics of the population as well as estimating the accuracy of the samples.

Babbie (2004:190) further states that the advantage to using random sampling is that it erases the dangers of selecting cases on an intuitive basis (in other words, selecting those cases that you well know will support your research expectations or hypothesis).

3.9.2 Access to study population

The study's qualitative interviews (i.e. face-to-face interviews) were conducted with DOT officials in their offices. The quantitative interviews, however, were mostly conducted via telephone, as the emerging contractors that served as respondents were all over KwaZulu-Natal and sometimes only available after hours; it was thus impossible for the researcher to conduct face-to-face interviews with them.

3.9.3 Data collection methods

In order to achieve the objectives of this study, face-to-face interviews were conducted in order to obtain the necessary qualitative data (see Annexure A for a copy of the open-ended questions). Three officials out of five participated in the interviews. An informed consent form (see Annexure B) was read and signed by each of the participants before participating in the interviews. The informed consent form helped the researcher to thoroughly explain the purpose and benefits of the study. After they had signed the informed consent form, the open-ended interviews were conducted and tape-recorded for the sake of gathering detailed and accurate data.

For the quantitative data collection process, emerging contractors were called; the purpose of the call was explained to them and if the participant was willing to participate, an appointment was made for when the researcher could call again in order to conduct the interview telephonically. When calling to conduct the actual interview, the researcher started by again explaining the purpose of the study. She then read the informed consent form (see Annexure C) to check that the participant was still willing to participate in the study. After the informed consent form had been read, the closed-ended questions (see

Annexure D for a copy of the closed-ended questions) were put to the participants. Since the interviews were conducted over the telephone, the researcher had to take notes while the participant was talking.

3.9.4 Data analysis

Since both qualitative and quantitative data were collected, content analysis was used to analyse the qualitative data and the descriptive statistics using the SPSS programme was used to analyse the quantitative data. Content analysis is the systematic collecting and organising of information into a standard format that allows analysts to draw a conclusion about the characteristics and meaning of the material (Brewerton and Millward, 2002). According to Babbie and Mouton (2003:491), the content analysis method can be applied to any form of communication. Babbie (2004:314) defines content analysis as "the study of recorded human communications and to answer questions of communications research; i.e. who says what, to whom, why, how and with what effect". Babbie (2004:318) further argues that content analysis is essentially a coding operation. She defines coding as "the process of transforming raw data into a standardized form". Coding in content analysis involves the logic of both conceptualisation and operationalisation.

As already mentioned, the SPSS programme was used to analyse the quantitative data that was gathered for this study. SPSS is the Windows version of the Statistical Package for the Social Sciences. It is one of the most useful, popular and easy-to-use statistical analysis packages available.

The objective of this study has been to investigate the barriers to the successful implementation of the Vukuzakhe Programme. This objective was set in order to obtain a better understanding of policy implementation in terms of the Vukuzakhe Programme, which was initiated by the KwaZulu-Natal Department of Transport. The following objectives have guided this research:

1. Explore the admission criteria of the Vukuzakhe Programme.

2. Explore the progress that has been made by emerging contractors since entering into the programme.
3. Explore the exiting strategies of the Vukuzakhe Programme.

The findings of the study have been organised according to these objectives and according to the key questions of the study that were listed in Chapter 1. Basically, the participants were asked to respond to specific questions that were asked under the headings of broader questions. The following section (i.e. Section 3.10) presents the quantitative as well as the qualitative results of the study. The ensuing chapter (i.e. Chapter 4) presents the researcher's interpretation of these results.

3.10 Findings

3.10.1 Results on interviews with emerging contractors

As was mentioned in Section 3.8.1.2, quantitative methods were used by the researcher when interviewing the emerging contractors. Under each broad question, participants were also asked specific questions, which are detailed below.

(a) Admission Criteria

When the participants were asked how they registered with the Vukuzakhe Programme, all of them (100%) responded by saying that they registered through the Department of Transport's database (see Annexure E for the attached Vukuzakhe Programme registration form). The second question that was asked under the heading of admission criteria was why they registered with the Vukuzakhe Programme. All the participants said they had wanted to obtain tenders and improve their businesses as emerging contractors. The participants were then asked which year they joined the Vukuzakhe Programme. Out of the ten respondents that were interviewed, two joined in 1998, another two said they joined in 1999, one joined in 2001, two joined in

2005, one joined in 2006, and two joined in 2007. All the ten respondents said it was easy to be admitted into the Vukuzakhe Programme.

(b) Progression

The second broad issue that the researcher investigated was the progression of the emerging contractors within the Vukuzakhe Programme. One of the specific questions that was asked under the heading of progress was to do with how many tenders each of the emerging contractors had been awarded since they had joined the Vukuzakhe Programme. Fifty percent said that they have not received any tenders since they joined the Vukuzakhe Programme. When asked if the Vukuzakhe Programme has benefited their business development, 50% of the ten participants interviewed said 'yes', while 50% said 'no'. When asked if they have received any training from the DOT, 60% of the ten respondents interviewed said 'yes' while 40% said 'no'.

It is interesting to note that although 100% of the respondents (all ten emerging contractors) said it is clear how you are supposed to apply for tenders within the Vukuzakhe Programme, only 50% said that the Vukuzakhe Programme has helped develop their businesses. The other 50% said that although they know how to apply for tenders within the Vukuzakhe Programme, they have not received any tenders since they joined the programme. Several reasons were mentioned by the respondents as to why they have not yet received any tenders from the Vukuzakhe Programme. One of the reasons that the emerging contractors mentioned was that they suspect that there is corruption amongst the KZN DOT officials. One respondent said:

[...] when we go for tender application, there are always emerging contractors who brag that the tender is theirs and they definitely get the tender; this makes you wonder why tenders keep on being received by the same person all the time.

Moreover, when the ten respondents were asked if it is easy to be awarded tenders within the Vukuzakhe Programme, 90% (i.e. 9 respondents) said that

it is not easy and only 10% said that it is easy. One of the reasons that was given was:

It's like lottery; you keep on gambling until you are fed up. I am no longer having interest in Vukuzakhe Programme and we even suspect corruption in awarding tenders.

Another participant had the following to say:

[...] We don't receive feedback on our applications. DOT is corrupted. Tenders are given to officials' families and friends. It is not easy because it is very competitive and you need to double up your effort of looking for a job. For example, in one month I apply for about fifteen tenders and end up getting maybe one tender in three month's time. [...] But I think it was easy before because we were given estimates but now you have to price your own tender application. We were told if we are given estimates we end up having tender applications with exactly the same amounts.

When asked if it is easy to move from one stage in the programme to the next (i.e. upgrading a stage), 50% of the respondents said that it is easy to move up a stage whilst 50% said that it is difficult. Those who said that it is difficult gave reasons like the following:

It is not easy and stages for DOT and grades for CIDB are not equivalent. For example, I am in stage four in Vukuzakhe Programme whereas I am in grade six in CIDB database. [...] It is not easy because CIDB rates you according to the jobs that you have done whereas Vukuzakhe Programme it's not clear how you get upgraded.

When asked about the challenges that they have encountered as emerging contractors, one of the respondents spoke as follows:

The biggest challenge I have encountered was inconsistency between stages and grades. For example, when you are in stage three in Vukuzakhe, CIDB sometimes put you on grade two, which to us is like stage two.

Another of the respondents mentioned that:

Sometimes DOT send notices in coast centre offices that there would be tender documents available, we must come and collect them so that we can apply for tenders. When you get to the coast centre office you find that there are no tender documents. You end up not knowing who lied, but at the end you see contractors working and say they have been awarded that tender that you did not even see its documents because they were not available.

Another respondent described his biggest challenge thus:

[...] Not getting tenders have been a biggest challenge for me; not receiving letters telling you about feedback of your tender application is also one of the challenges I have encountered. Capacity to do a job when offered a tender is very challenging (i.e. resources like equipment and money). DOT hardly helps you in putting these together. Also, those consultants that DOT uses have poor understanding of the Vukuzakhe Programme. Consultants don't even put an effort to help the contractor.

The respondents were asked about their expectations of the Department officials who are responsible for the implementation of the Vukuzakhe Programme. Some said that the DOT should be continuously giving them information about tenders, documents and all the procedures to follow when applying for a tender. For example, the Vukuzakhe Programme database is currently closed but there are officials who say that it has been opened again.

Other participants mentioned that the DOT must bring back Community Development Research Organisation (CORD) consultants because they were helping them to apply for tenders and were monitoring their work. The respondents further suggested that the Vukuzakhe Programme needs to be aligned to the CIDB so that there are no differences between the grades and the stages.

3.10.2 Results on interviews with DOT officials

As has been mentioned above, of the five officials in the Economic Empowerment Directorate that heads the Vukuzakhe Programme, three agreed to participate in the study interviews.

It was also interesting to discover that out of the approximately 37,000 emerging contractors that are listed in the database, not even 50% have received tenders from the DOT since the inception of the Vukuzakhe Programme. One of the reasons given by respondents for this is that one emerging contractor may have as many as four (differently named) companies registered in the database at one time. Another reason that was given is that husbands sometimes use their wives' name to open a company because they know that the Vukuzakhe Programme targets mostly women (although these men tend to not share the company benefits with their wives). Other emerging contractors register companies under the names of children who have just turned eighteen years old; it is impossible in the opinion of the respondents for an eighteen-year-old to properly own and run a company. One respondent mentioned that they have as a department also found that employers use their illiterate employees to open a contraction company; these employees are used only to sign documents but do not benefit from the company. He called this 'fronting'. This respondent explained fronting as follows:

When the other partner is using the other partner to gain something. Because Vukuzakhe is for black people as per the BEE policy, one example of fronting is employers who are

whites would use their domestic workers to sign the Vukuzakhe Programme documents but the employer would be the one benefiting in this programme; the other example is when we are both blacks but one of us is working in the public service but open a company with and don't tell you all the benefits or the legality issues of the Vukuzakhe Programme.

During the interviews the respondents highlighted the fact that the database is currently closed because of the resolution that was taken at the Vukuzakhe Indaba in March 2008 where there was a complaint that the emerging contractors in the database are inactive. It was complained that emerging contractors simply register but do not then apply for tenders. Whereas the main objective of the Vukuzakhe Programme is to streamline and promote entrepreneurs, not job seekers. One respondent spoke as follows about the criteria for removing inactive emerging contractors from the database:

One of the criteria to remove contractors from our database is in our policy. It says: "if you fail to get two jobs in a period of two years we must take you out of the programme", but we are not saying that people must get jobs in the Department of Transport only. We mean anywhere in construction industry, in a way that proves that you have got passion of what you are involved in. However, we do have a compromise in a policy, which says: "if a contractor has made almost ten attempts in a period of two years that contractor would remain in the database. We will also remove all those companies with public servants officials.

The respondents said that it is as a result of these problems that the database is currently closed; they said that it is currently being cleaned so as to sort out these problems. The respondents said that the current Vukuzakhe Policy does not specifically address some of these issues and that is why there are so many loopholes within the programme. For example, the policy does not say anything about an emerging contractor registering more than one company in the database. It also does not say anything about government

officials registering their companies within the database. As a result of these omissions, the database has been closed in order for it be cleaned up and for all these discrepancies to be sorted out and fixed. The respondents also mentioned that the Vukuzakhe Policy is also in the process of being reviewed so as to tighten up the areas where there are currently loopholes.

Moreover, when the respondents were asked about communication between the KZN DOT officials and the emerging contractors, they said that it was good and that they have measures in place to make sure that emerging contractors always know what is happening and when any tenders are available. One respondent said:

For grade one, we do quotation system. We don't advertise it in newspapers but we put it up in notice board in coast centres and then contractors submit quotations. And then from grade two upwards we advertise in national newspapers. We use isiZulu most of the times and we normally advertise in Ilanga and the Natal Witness because we believe that people read these newspapers mostly. In other areas like Ulundi people use the Government Gazette so we also use it to advertise tenders.

Another respondent further explained that emerging contractors know that they need to regularly visit the coast centre (i.e. regional offices of KZN DOT) in order to check for newly advertised tenders. This respondent also said that emerging contractors now know the days of advertising because these tenders are not announced as being specifically for grade one emerging contractors. The KZN DOT also uses emerging contractors associations to inform emerging contractors of the jobs that are going to be advertised.

The respondents also alluded to the challenges that face the Vukuzakhe Programme. One of the respondents said that the biggest challenge they have is that policies change from time to time and emerging contractors do not receive timely updates with regard to the latest information. Another challenge voiced by one of the respondents is that although the intention

behind changing policies is to advance people's lives, it is the implementation of those policies that is the challenge.

The transmission of information to emerging contractors is also a challenge because some trainers do not even understand the policy themselves and end up transferring the wrong information. Another challenge that was mentioned by a respondent with regard to the implementation of the Vukuzakhe Programme is that:

[...] the implementation of the Vukuzakhe Programme will never be smooth because when we talk about the policy and the people, these two things clash because people expect to satisfy their own needs but on the other hand when creating the policy you need to comply with regulations and what it says. For an example, there are things that even if you try to force them into a policy you can't because of the regulations, for example, association affiliation because if you look at it, it also creates problems that there are people who do not want to be affiliated in an association because we say associations are there to advocate for people at the same time joining the association is voluntary so if the person chooses that he doesn't want to join the association how is the association going to help him. Because when you talk about training you channel it to the association to tell people and the other thing is that most of the people who are not in associations are in grade threes upwards so you see they are doing okay whilst people in associations are still struggling in grade ones so they sometimes feel that there is no need for association if other people do well without it.

When asked about the support and training that the KZN DOT offer the emerging contractors, one respondent said:

You see our programme is very comprehensive. We have technical support as well as business support and Associations that I have

already mentioned. Lets say you have received a contract; we start when you are in the field where in technical support we have engineers and mentors who teach you exact the work that you have to do and invoices. They take you from scratch and teach you. Business support then teaches you the management side of business. They teach you how to manage your business and how to tender for contracts and how to establish the relations. So that is why we say our programme is developmental because we teach you stage by stage.

Respondents were also asked about the criteria of de-registering emerging contractors from the Vukuzakhe database and they mentioned a number of reasons that could lead to an emerging contractor being de-registered. Some of those were that if you are de-registered by CIDB we also de-register you because CIDB controls everything regarding construction. For an example, CIDB can de-register you if your tax clearance has expired, they suspend you, if you don't pay your subscription fees, they de- register you and the other thing is that they keep the record of your work and if CIDB feels that there have been so many bad things that have been said about you regarding the way you conduct your business they can de-register you for that. We also take it from there and also de-register you. The other thing that is how the contractor associates himself with the Vukuzakhe, associations stipulate that if you are a contractor you have to pay subscription fees and attend meetings and if you do not adhere to these rules they can also recommend that you get de-registered. So, we also take into account all those things.

When asked if there are any emerging contractors who have exited the Vukuzakhe Programme, the respondents said that as they have closed the database, nobody has exited the Vukuzakhe Programme. They added that the KZN DOT is currently conducting an investigation into those emerging contractors who are supposed to have exited the Vukuzakhe Programme by now. The process of cleaning up the database has resulted in the department noticing that there are many emerging contractors who should have exited the programme long time ago but have not as yet because the department did not yet have a monitoring system in place. When the database reopens, the KZN

DOT will give these contractors letters of exiting and explain to them why they are being removed from the Vukuzakhe Programme.

To conclude this chapter, one may argue that the responses provided by the department officials show that there is a degree of work being done towards making sure that the Vukuzakhe Programme provides all emerging contractors with a fair chance of being awarded tenders. The Vukuzakhe Programme has as one of its objective to provide emerging contractors with an opportunity to participate in an open market; with this in mind, it can be seen that the closing and cleaning of the Vukuzakhe Programme's database will help ensure that all emerging contractors do in fact receive such an opportunity. The Vukuzakhe Programme's other objective is to create entrepreneurs; those emerging contractors that are listed within the database but are inactive (i.e. are not even trying to apply for tenders) will thus be exited from the programme.

Having noted the good work that the KZN DOT is doing, one needs to also note the concerns of the emerging contractors. For example, the emerging contractors that were interviewed (and whose responses have been discussed above) have made it clear that some of them do not have sufficient information about how the Vukuzakhe Programme's stages are channelled into CIDB grades, which lead to the upgrading of the emerging contractor's status.

Communication between the emerging contractors and department officials seems to be one of the biggest issues for emerging contractors. Most of the emerging contractors' respondents complained that they do not receive feedback when applying for tenders. This faulty communication creates doubt on the side of contractors; they have even come to suspect that tenders are being given away to the friends and families of department officials. One may recommend that having a monitoring system in place would help improve the working relationship between emerging contractors and departmental officials. Department officials are currently working on just such a monitoring system. One may note that not having a monitoring system in place has been a

loophole on the side of the KZN DOT as it has been emphasised in the theoretical literature by Rossi and Freeman (1989) that without adequate programme monitoring it is impossible to estimate the extent to which an initiative and its specific programme elements or treatments are or are not efficacious.

Chapter 4: Discussion and Conclusion

This chapter brings the study to a conclusion. As was mentioned in Section 2.6 on Program monitoring or process evaluation, program monitoring is the main analytical framework that guided the analysis of the data that was gathered so as to answer the research questions posed in Chapter 1 of this study. The three key questions posed by Rossi and Freeman (1989) have been used as the basis of analysis of the findings of the study with regard to the implementation problems of the Vukuzakhe Programme. Rossi and Freeman's three key questions are to do with: (1) the extent to which a programme reaches its target population; (2) whether or not the programme's delivery of service is consistent with the programme's design specification; and (3) the resources that are being used to carry out the programme.

It can be seen from the findings of this study, by looking at the broad and specific questions of admission, progression and exiting strategies within the Vukuzakhe Programme, that the first challenge that was discovered by the researcher is that the KZN DOT has never had a monitoring system in place to monitor the activities of the Vukuzakhe Programme. The absence of such a monitoring system is largely responsible for the problems that the KZN DOT has encountered with regard to the programme (for example, inactive emerging contractors have remained in the database, and emerging contractors are not wanting to be part of associations). This challenge thus constitutes the biggest implementation problem of the Vukuzakhe Programme.

Anderson (1997:10) argues that public policy emerges as a result of public demands or of those aims for action or inaction on some public issue as made by other actors (e.g. private movements, legislatures and other public citizens) upon government officials or agencies. "All public policies are aimed at promoting some aspects of public welfare" (Hanekom, 1987:55). For example, the Vukuzakhe Contractor Development Programme was initiated

by the KZN DOT for black economic empowerment purposes. One of the goals of the BEE policy of the KZN Department of Transport is to redress the injustices that have arisen as the result of past or present discrimination with regard to race, gender or disability within the public transport industry and within the value chain of this industry (KZN DOT BEE Policy 2004:5).

Pressman and Wildavsky (1973:xiii) view policy implementation as "a process of interaction between the setting of goals and actions geared to achieve them". Colebatch (1998:55) argues that policy is as much about choosing one's goals as it is about the means one uses to accomplish those goals. However, if something different happens on the ground (i.e. the objectives are not implemented as intended), the implementation process fails. The Vukuzakhe Programme provides a practical example of goals and the actions that are geared to achieving them: the Vukuzakhe Programme was established with the aim of developing emerging contractors who are expected to eventually become functional SMMEs. The Vukuzakhe Programme was designed to provide the support that is necessary for emerging contractors to eventually be able to compete within the open market.

Colebatch (1998:58) further argues that for policy implementation to be successful, all the stakeholders (i.e. all those who may have a vested interest in the success of the policy) need to be involved. These stakeholders may be directly or indirectly affected by the policy.

Considering the responses from the interviews conducted with certain officials of the Department of Transport, it may be concluded that the Vukuzakhe Programme practices the bottom-up approach described by Lipsky (1980:14-20). Lipsky argues that such an approach focuses on how a policy's implementers (i.e. street-level bureaucrats) carry out that policy as opposed to the instructions given to them by their superiors that they must follow.

This bottom-up approach shows that the officials of the KZN DOT are indeed policy entrepreneurs whose intention is to shape major dimensions of public

policy and its implementation, a concept that has been highlighted by Lipsky (1980:13). Colebatch (1998:52) states that policy implementation problems often arise due to inadequate resources such as funds, capacity, and the power or authority to implement. An example of this in relation to the Vukuzakhe Programme is that there are currently fewer tenders available due to the present financial recession and its effects on the province of KZN.

It has been shown (see Chapter 3) that the Vukuzakhe Programme does to a certain extent reach its targeted BEE groups and individuals. However, it needs to be noted that there still very few women enrolled in the Vukuzakhe Programme..

The path that the implementation process of the Vukuzakhe Programme has followed since the days of the programme's inception has involved several obstacles that have had to be overcome. These obstacles led to the KZN DOT closing the database for a while in order to sort out certain discrepancies. Fronting seems to be the other big problem facing this programme and it is a problem that requires the KZN DOT to seriously tighten up its policy, as the Vukuzakhe Policy does not say anything about it at present.

However, this is not to say that the Vukuzakhe Programme has not achieved its objectives, as there are indeed emerging contractors who have benefited from the Vukuzakhe Programme. The question though remains as to when the Vukuzakhe Programme is going to start exiting emerging contractors who have reached stage four of the programme and are ready to face the open market.

It is recommended that the KZN DOT have a structured training programme to assist emerging contractors and prepare them for open market. The question remains, however, as to why there have not been any exits in the Vukuzakhe Programme since its inception.

The officials that were interviewed also highlighted the fact that the Vukuzakhe Programme does not currently have a monitoring system in place (as mentioned in the above paragraph) and that the KZN DOT have just created a business support component in order to deal with the monitoring of the contractors. A legitimate concern is that when the database reopens and some of the emerging contractors receive letters of exit from the programme, will those emerging contractors prove to be ready to deal with the challenges of the open market. In other words, has the DOT actually prepared them to face the open market.

There were quite a few limitations to this study as experienced by the researcher. One of the limitations was that the DOT officials directly responsible for the implementation of the Vukuzakhe Programme were simply not interested in being interviewed. The other limitation (or problem) that was experienced was that some of the emerging contractors thought that the researcher was calling with a job or contract offer; when the researcher explained about the study and her purpose for calling, most of the emerging contractors simply said that they were not interested in participating in the study. Some feared that the promise of confidentiality would not be maintained because the researcher had accessed their particulars through the database of the department. Some of the emerging contractors also feared that the researcher, being an employee of the DOT, would go back and tell the other department officials responsible for the Vukuzakhe Programme implementation what they had said, especially with regard to what the emerging contractors believe to be corruption within the Vukuzakhe Programme.

A further limitation that was experienced by the researcher was that out of the ten participants who agreed to participate, one of them had to drop out of the interview before finishing because he felt the questions were becoming too personal and he did not trust that the information was only intended for the researcher's study. This emerging contractor did however agree to let the researcher use the information that he had already provided.

While the Vukuzakhe Programme does have some problems that need fixing, it is a good programme on the whole as it tries to provide previously disadvantaged people, especially women, with opportunities that they did not have before. The programme has partly achieved its objectives as some emerging contractors have gained skills and an understanding of the construction industry, which they did not have before. There is still, however, a great deal that needs to be done, as there are loopholes within the policy that allow for fronting and for department officials to become contractors themselves.

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ANNEXURE A

QUALITATIVE INTERVIEW SCHEDULE

1. What are the admission criteria for the Vukuzakhe Programme?
2. How many contractors are there in the Vukuzakhe Programme's database?
3. How many contractors have been awarded tenders since they have joined the Vukuzakhe Programme?
4. Do you think emerging contractors stand a fair chance of being admitted into the Vukuzakhe Programme? How is this ensured?
5. What challenges do emerging contractors face as far as admission into the programme is concerned?
6. What causes these challenges?
7. What are the criteria for moving emerging contractors from one stage of the programme to the next?
8. What support does the Department of Transport (DOT) offer emerging contractors in terms of helping them to move from one stage to the next?
9. What are the criteria for deregistering contractors from the Vukuzakhe Programme?
10. Are there emerging contractors who have been deregistered since the inception of the Vukuzakhe Programme? What are the usual reasons for deregistering them?
11. How does the DOT monitor emerging contractors' progress within the Vukuzakhe Programme?
12. What are the challenges/successes to this monitoring system?
13. Are there emerging contractors who have exited the Vukuzakhe Programme?
14. If you chose "yes" to Question 13, does the DOT monitor how these contractors survive in the open market?
15. Do you think the Vukuzakhe Programme is achieving its goals?
16. Has the implementation of the Vukuzakhe Programme been smooth?

[] Yes.

☐ No.

☐ Please explain your answer.

ANNEXURE B

CONSENT FORM FOR INDIVIDUAL, IN-DEPTH INTERVIEWS WITH DEPARTMENT OF TRANSPORT OFFICIALS

Explanation of the research project and the purpose of this interview

Hello. My name is Bongiwe Dlamini. I am a student at the Pietermaritzburg Campus of the University of KwaZulu-Natal. I am doing a research project on the implementation of the Vukuzakhe Contractor Development Programme. This programme is an initiative of the KwaZulu-Natal Department of Transport. It aims to transform the road infrastructure sector of the construction industry by developing a new pool of contractors. It also aims to ensure the active involvement in this programme of vulnerable groups of people such as women, youths, people living with disabilities and also co-operatives.

The purpose of this interview is to learn more about your experiences as a contractor participating in the Vukuzakhe Programme. I am also interested in learning more about your perceptions of the challenges faced by you and other Vukuzakhe contractors as far as admission, progression and exiting the Vukuzakhe Programme are concerned.

PROCEDURE

If you agree to participate, I would be occupying about one hour of your time in order to talk about these issues. I will be taking notes in order to help me remember what you say here today. I would also like to record today's session on tape. Only my supervisor and I will review the tape. Any and all information that you provide will be kept confidential and it will be reported without you being personally identified.

Confidentiality

The interviewer will be taking notes and will also record the session on tape in order to help her remember all that you share here today. Only my supervisor and I will review the tape. These tapes will be destroyed after they have been transcribed. All personal identifiers will be removed from the transcript. Your name will not be recorded and a nickname will be used. The only place where your name will be recorded is on this informed consent form. All the information you provide will be kept in a locked file and your name will never be used in the research reports.

Voluntary participation

Your decision to participate in these interviews is completely voluntary. You are not required to answer any question or questions that you do not wish to answer. You can also decide to stop participating at any time. Your choice to participate, to not participate, or to withdraw at any time will not be shared with anyone else in the Vukuzakhe Contractor Development Programme. There are no right or wrong answers to any of the questions. I am interested to know your own opinions and ideas.

Benefits

There are no direct benefits for you, but your participation will help me in finding out more about peoples' experiences of the Vukuzakhe Contractor Development Programme. You will also be helping to increase my understanding of the admission, progression and exiting strategies of the Vukuzakhe Contractor Development Programme. Your participation in this research project will not involve any risks to you.

Offer to answer questions and freedom to withdraw from the study

If you have any questions about this research project you may ask them now or you can call me. My details are as follows:

Bongiwe Dlamini

Phone: 082 8031052

Email: Bongiwe.Dlamini@Kzntransport.gov.za

You can also contact Mark Rieker, who is my research project supervisor. His details are as follows:

Phone: +27 (0) 33 2605619

Email: RiekerM@ukzn.ac.za

If you do not have any questions and agree to participate in this study, we will then move ahead and begin. But first I will ask you to sign this form stating that I, the interviewer, have informed you of your rights as a participant and that you have agreed to participate in today's discussion. This is the only place where your name will be entered.

I thank you for your time.

Participant's signature

Date

Interviewer's signature

Date

ANNEXURE C

CONSENT FORM FOR CLOSED-ENDED INTERVIEWS

Explanation of the research project and the purpose of this interview

Hello. My name is Bongiwe Dlamini. I am a student at the Pietermaritzburg Campus of the University of KwaZulu-Natal. I am doing a research project on the implementation of the Vukuzakhe Contractor Development Programme. This programme is an initiative of the KwaZulu-Natal Department of Transport. It aims to transform the road infrastructure sector of the construction industry by developing a new pool of contractors. It also aims to ensure the active involvement in this programme of vulnerable groups of people such as women, youths, people living with disabilities and also co-operatives.

The purpose of this interview is to learn more about your experiences as a contractor participating in the Vukuzakhe Programme. I am also interested in learning more about your perceptions of the challenges faced by you and other Vukuzakhe contractors as far as admission, progression and exiting the Vukuzakhe Programme are concerned.

PROCEDURE

If you agree to participate, I would be occupying about one hour of your time in order to talk about these issues. I will be taking notes in order to help me remember what you say here today. I would also like to record today's session on tape. Only my supervisor and I will review the tape. Any and all information that you provide will be kept confidential and it will be reported without you being personally identified.

Confidentiality

The interviewer will be taking notes and will also record the session on tape in order to help her remember all that you share here today. Only my supervisor and I will review the tape. These tapes will be destroyed after they have been transcribed. All personal identifiers will be removed from the transcript. Your name will not be recorded and a nickname will be used. The only place where your name will be recorded is on this informed consent form. All the information you provide will be kept in a locked file and your name will never be used in the research reports.

Voluntary participation

Your decision to participate in these interviews is completely voluntary. You are not required to answer any question or questions that you do not wish to answer. You can also decide to stop participating at any time. Your choice to participate, to not participate, or to withdraw at any time will not be shared with anyone else in the Vukuzakhe Contractor Development Programme. There are no right or wrong answers to any of the questions. I am interested to know your own opinions and ideas.

Benefits

There are no direct benefits for you, but your participation will help me in finding out more about peoples' experiences of the Vukuzakhe Contractor Development Programme. You will also be helping to increase my understanding of the admission, progression and exiting strategies of the Vukuzakhe Contractor Development Programme. Your participation in this research project will not involve any risks to you.

Offer to answer questions and freedom to withdraw from the study

If you have any questions about this research project you may ask them now or you can call me. My details are as follows:

Bongiwe Dlamini

Phone: 082 8031052

Email: Bongiwe.Dlamini@Kzntransport.gov.za.

You can also contact Mark Rieker, who is my research project supervisor. His details are as follows:

Phone: +27 (0) 33 2605619

Email: RiekerM@ukzn.ac.za

If you do not have any questions and agree to participate in this study, we will then move ahead and begin. But first I will ask you to sign this form stating that I, the interviewer, have informed you of your rights as a participant and that you have agreed to participate in today's discussion. This is the only place where your name will be entered.

I thank you for your time.

Participant's signature

Date

Interviewer's signature

Date

ANNEXURE D

THE VUKUZAKHE EMERGING CONTRACTORS' INTERVIEW SCHEDULE

ADMISSION


1. How did you register with the Vukuzakhe Programme?
☐ Through the Department of Transport's (DOT) database.
☐ Through the CIDB.
☐ Other. Please specify.
2. Why did you register?
3. What year did you join the Vukuzakhe Programme?
4. Do you think it is easy to be admitted into the Vukuzakhe Programme?
☐ Yes.
☐ No.
☐ Please explain your answer.

PROGRESS

5. Since you have joined the Vukuzakhe Programme, how many tenders have been awarded to you?
6. Do you think it is easy to be awarded a tender within the Vukuzakhe Programme?
☐ Yes.
☐ No.
☐ Please explain your answer.
7. How do you find the communication with the DOT?
☐ Good.
☐ Poor.
☐ Please elaborate on your answer.

8. Are you happy with this kind of communication?
- ☐ Yes.
- ☐ No.
- ☐ Please explain your answer.
9. Do you think it is easy to move from one stage to the next within the Vukuzakhe Programme?
- ☐ Yes.
- ☐ No.
- ☐ Please explain your answer.
10. What challenges have you encountered within the Vukuzakhe Programme?
11. Has it been made clear how you are supposed to apply for a tender?
- ☐ Yes.
- ☐ No.
- ☐ Please explain your answer.
12. Is there any training that you have received from the DOT as far as the Vukuzakhe Programme is concerned?
- ☐ Yes. Please give details of the training.
- ☐ No.
13. What are your expectations of the DOT officials responsible for implementing the Vukuzakhe Programme?
14. Do you think the Vukuzakhe Programme has benefited your development as a business?
- ☐ Yes.
- ☐ No.
- ☐ Please explain your answer.
15. What would you like to see improved in the Vukuzakhe Programme?

ANNEXURE E: REGISTRATION FORM FOR THE VUKUZAKHE PROGRAMME

Enterprise Database Capture Form	Return to	KZN Dept. of Transport
	Office use	Private Bag X 9043
	DOT Reference Number	PIETERMARITZBURG
	DOT 2009	3201
		Tel: 033-355 8708 /8950

Company Legal Name			
Company Trade Name			
Please, mark with a X, as to the form of business entity.			
Sole Proprietor	Partnership	Close Corporation	Co-Operative
Company / Close Corporation Number			
KZN Provincial Supplier Number (ZNT)			
Vat Number			
Income Tax Number			
Association Affiliation			
1. CIDB Grading	CRS Number	2. CIDB Grading	CRS Number
Primary Place of Business			
Physical Address (Attach proof)			
		CODE	
Postal Address (Attach proof)			
		CODE	
Business Contact Numbers or E-mail			
Telephone No.			
Fax Number(s)	0	0	
Cell Number (s)			
E-Mail Address			
E-Mail Address			
Web Address			

Fax or E-mail Copies will not be accepted

Ownership Structure

1. Name & Surname												Country of Origin					
Identity No																	
Please, mark the appropriate box with a X																	
Female			Male			Living with a Disability				Briefly describe disability							
Position in Organisation												%Ownership					
Are any of the Company owners currently employed by the Public Service/Public Entity/Local Government?														Yes		No	
Qualifications																	
Other courses attended																	
Relevant Experience																	
2. Name & Surname												Country of Origin					
Identity No																	
Please, mark the appropriate box with a X																	
Female			Male			Living with a Disability				Briefly describe disability							
Position in Organisation												%Ownership					
Are any of the Company owners currently employed by the Public Service/Public Entity/Local Government?														Yes		No	
Qualifications																	
Other courses attended																	
Relevant Experience																	
3. Name & Surname												Country of Origin					
Identity No																	

Fax or E-mail Copies will not be accepted

Please, mark the appropriate box with a X												
Female	<input type="checkbox"/>	Male	<input type="checkbox"/>	Living with a Disability	<input type="checkbox"/>	Briefly describe disability						
Position in Organisation										%Ownership		
Are any of the Company owners currently employed by the Public Service/Public Entity/Local Government?											Yes	No
Qualifications												
Other courses attended												
Relevant Experience												
4. Name & Surname										Country of Origin		
Identity No												
Please, mark the appropriate box with a X												
Female	<input type="checkbox"/>	Male	<input type="checkbox"/>	Living with a Disability	<input type="checkbox"/>	Briefly describe disability						
Position in Organisation										%Ownership		
Are any of the Company owners currently employed by the Public Service/Public Entity/Local Government?											Yes	No
Qualifications												
Other courses attended												
Relevant Experience												
Total number of Employed staff												
Number of Permanent Staff								Number of Temporary staff				
Previous Contract or Tendering Experience												
Employer/Dept				Tender No			Year Awarded				Value (Rand)	

Fax or E-mail Copies will not be accepted

CONTRACTOR REGISTRATION CHECKLIST

Prior to submitting your Enterprise Database Application Form, please ensure that the following documents are attached.

	DOCUMENTS ATTACHED	Yes	No	N/A
1	Proof of Ownership			
(a)	Identity Document(certified not older than three months)			
(b)	Company /close corporation documents(certified)			
(c)	CIDB Grading (if registered)			
(d)	Original Tax Clearance			
(e)	Declaration of ownership, Management ,control (affidavit)			
(f)	Any other proof.(Letter Head, crossed cheque, financial statements, etc.)			
2	Proof of Address (a minimum of three (3) documents)			
(a)	Bank statements			
(b)	Letter from local leadership			
(c)	SARS document stating address			
(d)	Municipal utility account			
(e)	Any other account (six months and older)			
3	Proof of disability (for disabled contractors)			
(a)	Letter from the district Medical Practitioner			
(b)	Additional Information(X-Ray, Accident Reports, etc.)			
4	Proof of work done (Grade 2 and 3) new applicants			
(a)	Letter of award			
(b)	Completion letter or certificate			
(c)	Payment Certificates			
5	OPTIONAL DOCUMENTS			
(a)	Company Profiles			
(b)	Any other documents			
<p>N.B. Grade 4, 5 and 6 contractors, who wish to register for the first time, are not allowed to register on the Vukuzakhe Emerging Contractors Database.</p>				

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DECLARATION BY EMERGING CONTRACTOR UNDER OATH

I/We declare that I / we are fulltime active members of this business entity with regard to the management, ownership and control, and that the above particulars and information furnished to the Department of Transport for the purposes of registering our organization on the Vukuzakhe Emerging Contractor database are true in substance and in fact and that I/We fully understand the meaning thereof. I / We further agree to abide with the rules and principles of the Vukuzakhe Emerging Contractor Programme of the Department of Transport KZN.

Name: Signature:
Date: Designation:
ID Number.....

Name: Signature:
Date: Designation:
ID Number.....

Name: Signature:
Date: Designation:
ID Number.....

Name: Signature:
Date: Designation:
ID Number.....

Name: Signature:
Date: Designation:
ID Number.....

Signed and sworn before me at on this the day of by the Deponent, who has acknowledged that he/she knows and understands the contents of this affidavit, that it is true and correct to the best of his/her knowledge and that he/she has no objection to taking the prescribed oath, and that the prescribed oath will be binding on his/her conscience.

.....

COMMISSIONER OF OATHS

Name& Surname:.....Signature.....

SAPS NO:.....RANK.....

STAMP

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FURTHERMORE THE DEPARTMENT RESERVES A RIGHT TO INTERVIEW ALL THE OWNERS OF THIS BUSINESS ENTITY TO VERIFY INFORMATION PROVIDED IN THIS DOCUMENT.

For Office Use Only

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