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# CHAPTER 1: GENERAL INTRODUCTION

## 1.1 INTRODUCTION

Driving Licence Testing Centres (DLTCs) are registered and graded in terms of Section 8 of the National Road Traffic Act 93 of 1996 (hereafter referred to as the NRTA of 1996) to examine and test applicants for learners and drivers licences. DLTCs are also responsible for issuing new or duplicate learners licences, driver's licences and professional driving permits. Other responsibilities include the renewal of driver's licences and managing facilities and test material for drivers and learners licence tests (NRTA 1996:Section 8). Due to the wide range of tasks and responsibilities, DLTCs require guidelines and directives of how to perform their duties.

Guidelines provided by the national Department of Transport to DLTCs, do not provide adequate detailed instructions of how to issue and renew driver's licences. This is problematic because the processes, methods and procedures at DLTCs differ from one Centre to another. The issuing and renewal of driver's licences is thus undertaken differently at individual DLTCs. The consequence is that each DLTC develops and implements its own practices and procedures of how to issue drivers licences regardless of the general guidelines issued by the national Department of Transport. The latter Department's task of issuing guidelines and instructions to DLTCs is complicated by the Centres organisational structure which varies from one province to another. In certain instances, policies and procedures are deliberately personalised to suit the Centre. To a certain extent, the lack of standardised procedures implies that DLTC staff cannot be held jointly accountable for not upholding directive documents and guidelines. These practices result in unique challenges experienced by individual Centres. For example, applicants at the Madibeng Municipality Driving Licence Testing Centres (MM DLTC) experience unjustifiable delays in the issuing of drivers licences and lengthy queues is also a familiar sight. Furthermore, incorrect details on drivers licence cards (DLCs) is often reported by the public. Moreover, internal control mechanisms, such as supervision, and authorisation and approval processes, is not optimised to ensure effective and efficient issuing of drivers licences. The methods and procedures are neither aligned nor updated according to the licensing and road traffic policy amendments. These outdated procedures result in unlawful actions. In summary, the MM DLTC does not determine and implement standard operating procedures to issue driver licences effectively and efficiently and neglect to optimise the internal control mechanisms at the Centre (Lelaka 2017(a)). However, these problems are not unique to the MM DLTC, but prevalent at almost every Centre

throughout South Africa. Therefore, the primary reasons for the problems experienced in the issuing of drivers licences in South Africa, is that methods and procedures vary from one DLTC to another as well as there is a lack of current and innovative standard operating procedures. The development and implementation of standard operating procedures as delegated legislation, offers a probable solution at the operational level. The need for standard operating procedures to issue drivers licences emanated as a result of challenges experienced by DLTCs across the nine provinces, especially the MM DLTC.

From the aforementioned discussion, it is clear that the MM DLTC experiences problems with issuing of drivers licences. This introductory chapter provides a background and motivation for the study of the development and implementation of methods and procedures to issue driver licences at operational level at the Madibeng Municipality. Two options are proposed for the development of standard operating procedures to issue driver licences. Thereafter, the focus of the chapter shifts to the research problem and research questions. Relevant research questions pertinent to the study will be posed. The questions are presented in a subsequent section, after the problem statement is expounded upon. The aim of the study and the research objectives are discussed followed by the geographical dimension of the study. Key underpinnings of Public Administration and significant concepts associated with the development and implementation of methods and procedures are defined and the latter is discussed. The preferred research design and methodology is discussed followed by a description of the significance and unique contribution of the study. The significance of acquiring ethics clearance is highlighted, before the chapter is concluded with the structure of the thesis.

The function of determining and revision of methods and procedures will be referred to as 'methods and procedures' in the remainder of the thesis. More information and the rationale for the study is provided in the following section.

## **1.2 RATIONALE FOR CONDUCTING THE RESEARCH**

Recommendations that methods and procedures at DLTCs be reviewed, updated and standardised to inhibit poor service delivery, was demanded repeatedly over the last decade. In a report on the electronic National Traffic Information System (eNaTIS) to Parliament, the Auditor-General revealed that in 2008, eNaTIS user accounts and access rights were not managed effectively. Outdated and inadequate procedures towards set objectives had been identified as one of the primary reasons for ineffective system and transaction management (Auditor-General 2008:18). Instances in which methods and procedures had been designed to manage user accounts, was revealed

to be inadequate to ensure internal control during system and user maintenance in the driving licence environment (Auditor-General 2008:10 & 11). The matter was not resolved, and during a keynote address at a DLTC turn-around strategy workshop in 2010, the then Member of the Executive Council (MEC) of the Gauteng Province, Mr Bheki Nkosi, re-confirmed that there is a need to develop an efficiency programme for the Centres. Incorporated in the turn-around strategy for DLTCs was an envisioned efficiency programme aimed at simplifying the daily management of the Centres through the development of uniform processes and procedures (Nkosi 2010).

Following these reports and calls for standardised procedures, it was recommended in 2011 by the Auditor-General in a general report on the performance of the North West Local Government, that effective management and detailed instructions of how to comply with legislation should be drafted to ensure that service delivery objectives are reached by municipalities (Auditor-General 2011(a):12 & 13). However, it was also revealed that standards and procedures for operating systems, such as eNaTIS, had not been implemented in a coherent manner (Auditor-General 2011(b):64). In 2016, the Auditor-General (2016(a):21) intensified the matter and raised a call for effective internal control of which standard operating procedures is an internal control mechanism, and asserted that sound internal control is the key to municipalities delivering on their priorities in an effective, efficient and economical manner as well as comply with legislation. Municipal managers, senior managers and the officials responsibilities to implement and maintain effective and efficient procedures and systems of internal control, was once again highlighted. However, in 2017, and despite the multiple calls for the effective implementation of procedures and internal control, standard operating procedures as an integral driver of internal control revealed limited progress at the three spheres of government (Auditor-General 2017:47; Nzewi 2017:2 & 3).

However, the development and implementation of methods and procedures at DLTCs is complex and integrated with a varied range of operational matters to issue drivers licences. Furthermore, the use of unofficial guidelines at DLTCs, such as provincial circulars and eNaTIS software update notices, cannot be avoided due to the complexity of DLTCs as well as the scope of the NRTA of 1996, National Road Traffic Regulations (NRTRs) as amended, and eNaTIS transactions relating to the issuing of drivers licences. The indispensability of unofficial guidelines predominantly derived from the commonly known challenges at DLTCs, such as limited and expensive training opportunities for its officials and inadequate or faulty facilities and equipment. The use of standard operating procedures and other unofficial guidelines have proved to be well-gearred to address the needs and challenges experienced by DLTCs. Notably, unavoidable obstacles to the development and implementation of standard



operating procedures at DLTCs, such as the complexity of the eNaTIS system, high number of role-players involved in the internal and external environment, and strategic human resource and financial challenges need to be acknowledged to address existing challenges. Specific challenges experienced by the MM DLTC with regard to the implementation of standard operating procedures were raised during the personal interviews with the management and supervisors at the Centre as discussed in Chapter 6, section 6.5 (*Analysis, interpretations and findings of qualitative data: Follow-up interviews*).

It can, therefore, be reasoned that it is important to have standardised methods and procedures to issue drivers licences. It is also appropriate to develop these methods and procedures within Public Administration as a discipline, because the development and review hereof forms part of the generic administrative functions that traditionally formed the theoretical framework for Public Administration.

### **1.2.1 Developing standard operating procedures for the MM DLTC**

Fundamentally, two options for the development of standard operating procedures exist in the DLTC and licensing environment. The first option is that the national Department of Transport accepts responsibility to proclaim standard procedures as delegated legislation for all DLTCs. The use of legislated procedures solely developed by the Department of Transport would indeed promote accountability because DLTC officials would be requested to answer publicly for their decisions and actions. Regrettably, this option could prove problematic because any deviations from legislated procedures might constitute undesirable risks. Furthermore, standard operating procedures would actually lose its advisory and innovative role and become an extension of the formal regulatory framework. This might impede continuous quality improvement of services rendered by DLTCs.

The second and preferred option requires DLTCs to develop standard operating procedures with input from the relevant role-players. By following this option, the MM DLTC would be able to develop innovative practices suitable for the Centre. The result is that the MM DLTC develops standard operating procedures according to its individual needs and requirements. These procedures and practices could with the advent of time be legalised. Therefore, it is advisable to design and implement a framework for the development of standard operating procedures. The template, structure and features of exemplary standard operating procedures could also be utilised as an illustration of how to develop and implement standardised procedures in the DLTC environment.

Consequently, selected standard operating procedures were developed for the MM DLTC. Although the study accentuates methods and procedures, prominent phases during policy-making, namely: analysis, formulation, adoption, implementation as well as monitoring and evaluation, was followed during the development of the set of procedures. Eventual successful implementation of the proposed standard operating procedures at the MM DLTC could encourage generalisation to other Centres in that province. The standard operating procedures may ultimately be interpreted and implemented as official legislation.

What is the problem statement and the research questions pertinent to this study?

### **1.3 PROBLEM STATEMENT AND RESEARCH QUESTIONS**

The research problem for this study is as follows:

The lack of contemporary and relevant standard operating procedures impedes the effective issuing of drivers licences at the MM DLTC.

Several questions were posed to respond to the research problem.

The research questions based on the identified problem statement included the following:

- What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration?
- What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?
- Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?
- What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?
- What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?
- How can the implementation of standard operating procedures be enhanced at the MM DLTC?
- How to write standard operating procedures to issue driver licences at the MM DLTC?

The practical relevance of the aforementioned research questions directly enhanced the development and implementation of standard operating procedures at the MM DLTC; and empower Public Administration through a better understanding of the value and benefits that standard operating procedures as internal control mechanism. Standard operating procedures and internal control mechanisms are, therefore, brought together within Public Administration as a discipline. A basic framework for the development of standard operating procedures to achieve the aim of the study is expounded upon. An explanation of the research aim and objectives is provided below.

#### 1.4 AIM AND RESEARCH OBJECTIVES

This study centres specifically at determining, revision and implementation of standard operating procedures of issuing drivers licences at the MM DLTC. It became clear that issuing drivers licences would be uncomplicated if standardised procedures are applied consistently at the MM DLTC. Furthermore, when the implementation of standard operating procedures is managed and administered through the enforcement of internal control mechanisms, uncertainties among the staff of how to administer and implement the policy directive of licensing and road traffic legislation, would be reduced. By compelling the MM DLTC to manage its processes of issuing drivers licences through standard operating methods and procedures, the objectives set by the Madibeng Municipality and the national Department of Transport will be reached. Thus, the aim of this study is to provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences. The following objectives were set to reach the purpose of the research:

- The **first objective** of this study was to conduct a comprehensive literature review of the nature and scope of the determining and revision of methods and procedures as a generic administrative function.
- The **second objective** was to evaluate the implementation of standard operating procedures as an internal control mechanism by critically reviewing an internal control system and mechanisms of value to the MM DLTC.
- The **third objective** was to investigate the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC.
- **Objective four** comprised the development of a set of standard operating procedures to issue drivers licences at the MM DLTC.

The development of the basic framework for the development of standard operating procedures was not considered as a research objective but emanated from responding to the research questions and objectives.

A brief overview of the geographical dimension of the research follows below.

## **1.5 SCOPE OF RESEARCH**

This study is confined to the geographical context of South Africa. The study focuses on the Madibeng Municipality, which is a Category B municipality, and one of five local municipalities within the Bojanala Platinum District Municipality in the North West Province (Local Government Handbook 2017:Online). The Directorate of Public Safety, Fleet and Facilities Management under which the DLTC falls, is one of eight directorates of the Madibeng Municipality. The MM DLTC is registered and graded as a grade A Centre by the North West Provincial Government in terms of Section 24 of the NRTA of 1996. The operational practices at the MM DLTC are strictly guided by the provisions of the NRTA of 1996. The other directorates of the Madibeng Municipality include the Office of the Municipal Manager; directorates of Performance Management Systems and Legal Services; Budget and Treasury Office; Corporate Support Services, Infrastructure and Technical Services; Economic Development and Planning; Human Settlements; and Community Development. All the directorates and sub-divisions, including the DLTC, are service delivery orientated and committed to implementing the *Batho Pele* principles (Madibeng Municipality 2017(a):Online).

Significant concepts utilised throughout the study are analysed. Leedy and Ormrod (2015:70 & 71) explained that literature reviews aim to provide knowledge and an overview of previous research findings regarding specific research phenomena. An extensive literature review was conducted in Chapters 2, 3 and 5 of the thesis.

Below, the relevant key concepts are defined and described.

## **1.6 CONCEPTUAL ANALYSIS**

To place this study in the context of public administration, the key principles of public administration is described as underpinnings thereof in South Africa. Secondary concepts such as methods, procedures, economically, efficiency, effectiveness and lawfulness are also defined. The primary generic administrative functions are also put into perspective.

### **1.6.1 Defining P(p)ublic A(a)dministration**

The foundation of public administration in South Africa is stipulated in Section 195 of the Constitution of 1996 which states that, among other principles, the public must be encouraged to participate in policy-making, and public administration must be accountable. Furthermore, transparency must be fostered by providing the public with timely, accessible and accurate information. In this study, the concept 'public

administration' is utilised to describe the processes and functions provided by government to serve society according to its needs, desires and demands, as well as the academic discipline that study these processes and functions (Nkuna & Sebola 2014:290). The concept 'public administration' is thus broad-ranging and comprises of a combination of fundamental activities, principles and practices to provide public services, as well as enable the understanding of government's processes and functions and its relationship to society within a feasible and constitutionally justifiable framework (Erasmus 2015:105). In summary:

- public administration as a process has to do with government institutions and the activities of appointed public officials aiming at satisfying the needs of society within the borders of a specific state (Wessels 2017:29). It includes the provision of public services and products by the authorities at all spheres of government (Thornhill 2012:86). Public administration as a process may broadly be defined as any kind of administration in the public interest (Basu 2004:3).
- Public Administration is an academic discipline that aims to study the various processes and activities of government institutions that have the purpose of improving the general welfare of society by providing public services and products to society (Wessels 2017:29). As an academic discipline, Public Administration refers to the activities of scholars, academics and students as they make a study of public administration in practice (Theletsane 2013:177).

Public administration is grounded within the public interest and comprises of a mixture of processes and functions that embodies the relationship between government and society. The significance of public administration in South Africa is thus vested in service to the public within the legal framework provided by the Constitution of 1996 to advance the common good (Constitution 1996:Section 195(1); Daweti & Evans 2017:154).

Since public administration is concerned with the execution of functional, specialised and auxiliary activities, public managers and officials must determine and follow certain procedures to perform their duties. Methods and procedures, as an integral element of public administration, is determined and implemented so that government institutions may fulfil its calling, i.e. promote the public interest.

### **1.6.2 Underpinnings of public administration in South Africa**

In South Africa, every facet of public administration is directly or indirectly influenced by key principles such as the supremacy of the Constitution of 1996, the rule of law, public accountability, public participation and transparency (Daweti & Evans

2017:154). These principles form the foundation of this study and will be discussed briefly in this section in relation to methods and procedures.

#### **1.6.2.1 Supremacy of the Constitution of 1996**

Section 2 of the Constitution of 1996 stipulates that the Constitution is the supreme law of the Republic. The Constitution of 1996, as representative of the values of the broad South African society, is the foundation of all government's policies and procedures (Van Heerden 2007:316). To reach its objectives, Parliament, which is subordinate to the Constitution, has the authority to make laws that authorise the activities, responsibilities, methods and procedures followed by public and municipal officials (Constitution 1996: Section 37). In addition, Section 156(4) of the Constitution of 1996 stipulates that national and provincial government must assign the administration of any matter contained in Part A of Schedule 4 and Plan A of Schedule 5 (and which pertain to local government) to local government. The development of standard operating procedures to issue driver licences has subsequently been delegated to the local sphere of government. This implies that no municipality or employee of a municipality is above the law. Once standard operating procedures have been accepted and officially approved at municipal level, all the employees are subjected to it. Moreover, the local, provincial and national spheres of government must act according to the Constitution of 1996 and legislation passed by government – the rule of law (Constitution 1996:Sections 1(c) & 2).

#### **1.6.2.2 Rule of law**

The rule of law implies that government, politicians and officials at any sphere of government can be instructed to obey the law (Constitution 1996:Sections 1(c) & 2). The rule of law strengthens and assists to improve and reinforce the legal, judicial and law enforcement systems, policies and procedures, including their effective application throughout the country and at all levels of society (Theletsane 2013:183 & 184; Myeni & Mvuyana 2015:794).

#### **1.6.2.3 Public accountability**

LeMay (2006:263) provides a brief and to the point definition of public accountability: accountability refers to the degree to which a person must answer to a higher authority. For example, government has a responsibility towards the public and public officials are accountable to the public for their actions. Accountability thus involves a relationship between two parties. In this relationship, public officials are expected to perform certain tasks in response to the expectations held by the public. Accountability focuses on two central criteria, namely: 'responsiveness' and 'answerability'. Responsiveness is the extent to which public officials act to meet the expectations set

by the citizens. Answerability considers to what extent the public official has given a truthful report of what measures have been taken to meet the set expectations.

In South Africa, accountability has its origin in Section 33(1) of the Constitution of 1996. In this study, accountability can be understood as answering publicly for one's decisions, actions and behaviours, as well as any misdeeds and discharges (Thornhill 2015:77-83; Myeni & Mvuyana 2015:791 & 792). Based on this definition, delivering services and products that affect the public, requires answering for all intentions, decisions, actions and behaviour. This description implies that public officials are accountable for every action, the methods and procedures they follow, or the neglect.

#### **1.6.2.4 Public participation**

Public participation refers to the involvement and active participation of the public in the government's decision-making processes as advocated in Chapter 10, Section 195(1)(e) of the Constitution of 1996. One of the primary reasons for upholding participation, is the need to consider different interests, opinions and needs of the public during the policy-making process. The public should participate constructively on government matters and policy making (including procedure making) and the related implementation processes (Theletsane 2014:839).

Based on the definition of participation derived from the Constitution of 1996 (1996:Section 195(1)(e)), it can be deduced that participation in determining standard operating procedures is a constitutional imperative. Public participation is therefore a prominent directive that results in the public's satisfaction in terms of policy and procedure outputs (Zondi & Reddy 2016:28-30).

#### **1.6.2.5 Transparency**

Transparency relates to the availability of information to the general public and clarity about government rules, regulations and decisions. According to Sections 32 and 162(3) of the Constitution of 1996, policies, rules and standard procedures must be accessible to the public. The concept 'transparency' centres around access to documentation and other information prepared or commissioned by public officials (Wehmeier and Raaz 2012:256). This focus is supported by Meijer (2009:256) who accentuates that activities and functions that affect the public must be open to public scrutiny. This in turn assists the public to develop realistic expectations about what government can and not do. Transparency denotes the provision for access to information, policy and procedures, and also strengthens the right to information through means to gain access to information within a degree of legal enforceability on the provision of information (Theletsane 2014:839 & 840). Through transparency, the public is able to assess government performance. This suggests that any citizen, who

is unhappy with an administrative decision or action, may challenge the public official and the related actions, publicly, implying that transparency ensures accountability. It is however important to note that caution should be taken in exercising authority when secrecy should be maintained.

### **1.6.3 Associated concepts**

At this juncture, it is necessary to provide definitions of the key concepts utilised throughout the thesis to illustrate that methods and procedures form a requisite element of an organisation's activities. Key concepts relating to methods and procedures as an internal control mechanism are defined in the relevant chapter, Chapter 3.

#### **1.6.3.1 *Methods and procedures***

In this section, the focus is on the definition of the concepts 'methods', 'procedures' and 'standardised procedures'. The concept 'method' in public administration refers to the manner in which a specific step within procedure is performed. A method is thus the orderly arrangement of ideas or regular habits. Methods in this study will be defined as thorough consecutive steps or instructions of how a procedure must be performed, while the concept 'procedure' refers to the actions or steps to be taken in succession to complete a task or to carry out policy (Cloete & De Coning 2011:126). According to Booyens (2001:47), the purpose of procedures is to be used for communication, understanding, standardisation and coordination.

Procedures will therefore be defined as a series of interdependent consecutive steps and instructions which must be taken towards the achievement of a set objective. Work procedures are interpreted as a management tool for internal control and innovation (Nzewi 2017:3). Methods and procedures are thus very similar, but a method is a smaller component of a procedure. A procedure is a way of placing the smaller components (methods) together in sequence or combination to achieve objectives (Cloete & De Coning 2011:126).

De Treville, Antonakis and Edelson (2005:232) and Kanawaty (1992:3A) described 'standard procedure' as a series of actions or chronological steps which have to be executed in the same manner to always achieve the same result under the same conditions. Therefore, it can be posited that standardised procedures are step-by-step sequences of activities that must be followed in the same order over a wide number of situations and over an open period of time to eventually correctly perform a task. Nzewi (2015:11 & 12) as well as Barbosa, Zuliani Mauro, Bavaresco Cristóvão and Mangione (2011:132) concur with this definition and assert that standard operating procedures comprise detailed instructions to attain uniformity when officials carry out



a specific function. Alvarez and Hall (2008:831) added that accurate, accepted and approved methods and procedures act as instruments to ensure compliance with legislative requirements.

### **1.6.3.2 Effectiveness, efficiency and economically**

Effectiveness reflects the success of certain outputs in achieving predetermined objectives. In public administration, effectiveness underscores the satisfaction of the public with the end-results of a product or service, while the focus of efficiency is on the manner in which resources are transformed into these products or services in relation to effort, cost, speed and thoroughness. Economically is defined as the total cost of inputs utilised to produce the goods and services. The meaning of economically in this study is underpinned by the measure of success achieved when performing a task, producing goods, or delivering a service with minimum effort. The concept economically is utilised alongside effectiveness and efficiency. The effective, efficient and economical development and implementation of methods and procedures are based on the principle that the officials' actions and activities must never be beyond their legal authority, i.e. their actions must be lawful (Van der Waldt 2004:179; Thornhill 2015:82).

### **1.6.3.3 Lawfulness**

Each step or instruction of how a procedure must be performed, has to be valid and comply with relevant legal requirements. In terms of Section 33(1) of the Constitution of 1996, a pre-requisite for lawfulness is that all administrative actions should be lawful and practiced in an effective, efficient and economical manner. The full meaning of lawfulness is complex, but in simple terms, it implies that all administrative decisions and actions should take place within the parameters set by a range of requirements stipulated by law, specifically the provisions and values of the Constitution of 1996 and the Promotion of Administrative Justice Act 3 of 2000 (PAJA), as well as the constitutional principle of legality (Brynard 2013:80-90). It may be deduced from Brynard's explanation that un-lawfulness takes place when administrative decision makers misinterpret their mandate as authorised by law.

Public administration practice must take place within the restrictions of lawfulness. For example, should a management representative or an examiner for driver licences, or any DLTC employee fails to perform an administrative action within the parameters set by the NRTA of 1996, that action, or the lack thereof, is perceived as a violation of the Constitution of 1996, PAJA, and the NRTA of 1996. When an examiner for driving licences, for example, issues a drivers licence to an applicant not authorised to hold that licence, the examiner may be charged to answer publicly for the unlawful actions.

To ensure successful issuing of drivers licences, DLTC staff members must implement relevant methods and procedures within the bounds of their authority and within their mandate as prescribed in the Constitution, NRTA of 1996, the Municipal Financial Management Act 56 of 2003 (hereafter referred to as the MFMA) and the Public Finance Management Act 1 of 1999 (hereafter referred to as the PFMA). To successfully determine and review methods and procedures for the issuing driver's licences, it is necessary to understand the requirements of lawfulness.

Fundamental requirements for lawfulness, as described by Brynard (2013:80-95) will be utilised in this study to clarify what is, and what is not expected from DLTC employees in terms of lawful actions and decisions. Section 6(2) of the PAJA, forms the statutory grounds upon which Brynard (2013:80-95) constructs the requirements for lawfulness. Briefly, the requirements include:

- The authority to act must be authorised by law. All DLTC employees must be appointed properly, and perform their duties, for example, the issuing of temporary drivers licences, within the ambit of their authority.
- Authority must be delegated in a proper manner, and discretionary authority must be exercised properly and with caution. Although delegated authority must be exercised by the designated authorised official, it is often delegated and sub-delegated to other officials. In the DLTC and licensing environment, for example, the authority to register an examiner for driver licences in terms of Section 3A of the NRTA of 1996, may in terms of Section 91 of the NRTA, be delegated by the Minister of Transport to a Member of the Executive Council, who in turn, may sub-delegate that authority to a Director: Traffic Law Administration.
- All administrative actions must be constitutionally sound and lawful.

#### **1.6.3.4 Driver fitness**

The concept of driver fitness is utilised frequently later in the thesis and refers to the requirement that a motor vehicle driver needs to be in possession of a valid and officially issued piece of paper or driver licence card to drive legally on a public road. Moreover, driver fitness includes written and practical driver license examinations and a vision testing. Additional information about driver fitness is provided in Chapter 5, section 5.4 (*Historical overview of issuing driver licences*) and section 5.7 (*Driving licence testing centre: Madibeng Municipality*).

With the above definitions in mind, methods and procedures is presented below as a generic administrative function. Cloete (1967:9) identified six generic administrative functions as a framework for public administrative in South Africa, namely: policy-

making, organising, financing, staffing, determining work methods and procedures and controlling. The determining and revision of methods and procedures was identified and described as one of the administrative functions. Without the utilisation of all the generic administrative functions, and the allowance of the inclusive nature of the administrative functions, effective implementation of methods and procedures will not be possible (Basheka 2012:35 & 36). In this study, the quality of methods and procedures is considered as key to successful execution of functional, specialised and auxiliary activities, including operational routine matters, to effectively, efficiently and economically deliver a product or service. For this reason, the determining and revision of procedures and methods is considered equally important to the other administrative functions.

The aim of the following section is to define methods and procedures as one of, and as part of the generic administrative functions; and illustrate its inclusive nature. It is not the intention to elaborate on each generic administrative function, but rather to gradually introduce the nature and scope of methods and procedures in public administration. This is done to acquire a general overview of the all-encompassing operative nature of methods and procedures, since there is no 'blueprint' standard operating procedure for public administration.

#### **1.6.4 Generic administrative functions**

To classify the determining and revision of methods and procedures as a generic administrative function, it is important to define what is understood by 'administration' in this study. The meaning of administration as function and as process stem from Cloete's (1967:3) opinion that administrative actions must be undertaken together with functional and auxiliary activities to deliver a product or service. According to Erasmus (2015:107), administration is primarily considered as a process concerned with the execution of functional, specialised and auxiliary activities, including operational routine matters, directed towards the accomplishment of a goal by two or more officials in local, provincial and national government institutions.

Policy-making is defined as generic administrative function. The remaining functions will be discussed thereafter.

##### **1.6.4.1 Policy-making**

The government's commitment to objectives is reflected in statutory documents, such as official notices, annual reports and development plans, and published in Acts, Regulations and official policies. An official policy stipulates the course of action to be taken to reach an objective, and is the result of interaction between a variety of actors,

for example, governmental bodies, politicians, administrators, public officials as well as members of the public, working together (Henry 2013:305).

Cloete and De Coning (2011:7) suggested that public policy is government's statement of intent, including detailed programme of action to give effect to normative and empirical goals in order to improve or resolve perceived problems and needs in society. In this study, public policy is thus based on law and perceived as authoritative. According to Tosi (2009:134), public policy also imposes some form of control as it prescribes general rules of behaviour, directs actions and often states prohibited actions. Methods and procedures derived from the policy-making process and also imposes boundaries and restrictions on the actions and behaviour of individuals who perform a sequence of actions, because it lessens their freedom and discretion to act. The use of methods and procedures will be progressive, as long as it is accurate, reflect an effective process and generates worker competence. Conversely, should methods and procedures be inaccurate, its utilisation and impact will be negative.

In this study, the focus is on public procedure formulation and implementation at operational level. Operational policies are specific and often narrowly scoped to fit a specific working environment. As an operational policy, standard operating procedures enable a department or institution to fulfil its day to day responsibilities and is vital for the day-to-day management of that institution. Therefore, standard operating procedures guide the actions of the officials when interpreting and executing public policy (De Treville, *et al.* 2005:232-234; Reddy & Govender 2014:159 & 160).

Policy-making is thus used as a vehicle to transform the needs of the public into government objectives. However, policy-making exists in and through the collaboration and empowerment of other generic administrative functions, including the determining and revision of methods and procedures.

#### **1.6.4.2 Determining and revision of methods and procedures**

Coetzee (1988:62) argued that no product or service can be delivered without following predetermined methods and procedures. He posited that methods and procedures should be standardised because it serves as a source of information that ensures uniformity in a series of integrated actions. In this way, methods and procedures minimise differences in the manner in which comprehensive tasks are performed. Therefore, methods and procedures define the boundary between acceptable and unacceptable practices within the applicable legislative framework (Pycraft, Singh, Pihlela, Slack, Chambers & Johnston 2010:621).

In brief, methods and procedures specify the sequence, processes and techniques necessary to execute certain actions and operations within a given framework. It states

how tasks, programmes, responsibilities and control must be exercised, and also indicates who must take action (Ijeoma & Nzewi 2016:61 & 62). Methods and procedures thus form an indispensable part of an organisation's activities (Booyens 2001:47). Botes, Brynard, Fourie and Roux (1996:332) claim that methods and procedures simplify the work of public officials; it also enables the officials to determine exactly how they should perform their duties and utilise the authority delegated to them. As a generic administrative function, methods and procedures are intertwined because methods, as the orderly arrangement of valid and legal ideas and ways of executing tasks, cannot exist without procedures as a series of consistent chronological steps that must be followed to accomplish a task (Kanawaty 1992:3). Consequently, methods and procedures are built into all public service activities, regardless whether these are administrative, functional or auxiliary. Methods and procedures do not take place in a vacuum. A change in methods and procedures result in a corresponding change in all the other activities. Since changes in the nature of activities is necessary to keep abreast of new development, the determination of methods and procedures which precedes changes in these activities becomes an infinite exercise. As such, control measures have to be implemented to ensure that all management and administrative actions and behaviour in the public administration milieu is aimed at satisfying the needs of the public. The implementation of control measures is discussed briefly in the next section.

#### ***1.6.4.3 Implementing control mechanisms***

Ijeoma & Nzewi (2016:61 & 62) highlighted that control is about setting targets, evaluating performance, and ensuring that employees implement policy by working effectively, efficiently and economically towards achieving set objectives. It implies that deviations need to be identified by comparing results or outputs with predetermined standards. Control is about determining whether objectives have been realised by checking whether available resources were utilised as prudently as possible; officials identified alternative solution which conform to the standard procedures; and these solutions are within legislative frameworks. According to Motubatse, Barac and Odendaal (2015:402), control also includes directives for remedial measures to ensure that anticipated results are achieved. Successful implementation of internal control mechanisms is only possible when the control mechanisms are aligned with the organisation's objectives, policies, methods and procedures and financial guidelines. Without control, the abuse of authority and the negligence of responsibility, i.e. the disregard of one's commitment, willingness and capability to perform a task, would most likely compromise accountability and transparency in the public sector. Worker adherence to officially accepted methods and procedures does not happen automatically.

Ensuring worker adherence to standard operating procedures is one of the primary tasks of management through the implementation of control measures. According to De Treville, *et al.* (2005:232-237), the control function comprises of the following stages:

- Creating achievable standards.
- Measuring actual achievement of these standards.
- Evaluating any deviations.
- Implementing remedial actions.

Control as an administrative function can be categorised as internal and external control measures. In South Africa, internal control measures is required by the MFMA of 2003; PFMA of 1999; and Treasury Regulations issued in terms of the PFMA. In this study, internal control mechanisms was studied at the MM DLTC in terms of its legality and effect on the effectual implementation of the methods and procedures of issuing drivers licences.

In terms of financial control, the budget and financial analysis is perceived as significant tools with which control over financial resources can be exercised successfully. For this reason, public financing is defined below.

#### **1.6.4.4 Public financing**

Any government needs money to finance its services and products. Financing as a generic administrative function takes into account the policies which relate to managing money as well as the procedures involved in the provision of financial support in compliance with the national budget and plans (Ngwakwe 2012:313). It is a comprehensive function for all operations and activities aimed at availing funds and finance to government departments so that it can execute its duties and responsibilities. Various activities, such as the formulation of fiscal policy, budget preparation, budget implementation, management of financial operations, accounting, auditing and evaluation, are included in the financing function (Ababio 2007:7 & 8). Taking the above argument further, Ngwakwe (2012:322-324) asserts that methods and procedures ought to find its place in financial aspects, such as:

- Income and expenditure estimations and projections.
- Budget approval by the legislature.
- Budget implementation, including tax and revenue collection.

- Treasury management, including the custody of funds and auditing of accounts.

The primary role of methods and procedures in financing in public administration is to ensure effective stewardship over public money and assets. Diligent application of appropriate and approved methods and procedures contributes towards achieving value for money in meeting the government's objectives.

#### **1.6.4.5 Organising**

Organising as an administrative function includes the process of defining interrelated functions and responsibilities as well as the establishment or changing of formal structures within an organisation so that organisational objectives can be met. It also involves the coordinating of functions and activities. Therefore, organising refers to the activities involved in establishing formal organisational structures which form the basis for achievable standards and the allocation of authority, responsibility and accountability within any public organisation (Holtzhausen 2014:252 & 253). In this study, methods and procedures finds its place in organising within its primary components, i.e. the division of work, span of control, unity of command, departmentalisation, delegation of authority, coordination of work, channels of communication as well as control. Methods and procedures manifest as standard operating procedures within organising as administrative function when establishing structures of authority to ensure public accountability.

#### **1.6.4.6 Personnel administration**

Personnel administration is about employee satisfaction, motivation and performance. It also concerns the recruitment and employment of the best suitable person with the necessary skills, knowledge and qualifications, for a specific position. The purpose of personnel administration is to uphold employment growth and workplace productivity by assuring a steady source of people who contributes to the success of an organisation and who meets growing demands. The personnel function comprises of a network of functions supported by methods and procedures to provide competent and motivated personnel in the public service (Van der Westhuizen 2016:4 & 5).

Since public administration comprises of labour-intensive methods and procedures, it is necessary that public managers become participants in formulating standards and strategies that will guide the employees of how to perform effectively at an optimal level. It is generally agreed (even among critics of standardisation) that having high quality standard operating procedures, increases the competence of the worker. A positive relationship between the utilisation of standard operating procedures and the employees' sense of competence at the workplace, is also advocated. With regard to

personnel administration during the recruitment of staff, standard operating procedures facilitate the training of new recruits in understanding how tasks interconnect and to perceive its advantage (Clark 2015; Thornhill 2015:91).

The following section introduces the research methodology adopted in this study.

## **1.7 RESEARCH DESIGN AND METHODOLOGY**

To achieve the research objectives highlighted in section 1.4 (*Aim and research objectives*), the study adopted both the non-empirical and empirical research methodology. The non-empirical aspect of the study included a thorough literature review and a document analysis of existing institutional and policy documents at the MM DLTC. Empirical data was collected utilising a combination of quantitative and qualitative research designs that is, a mixed methods research design. One questionnaire and two sets of interview questions were utilised as data collection methods. The interview schedules were developed after analysing the responses to the questionnaire and identifying matters that needed further clarification. The research design and methodology, namely: literature review, case study, and document analysis and survey research, is elaborated on in detail in Chapter 4.

The significance and contribution of this study is the development and implementation of methods and procedures to issue drivers licences which is found in the basic framework for the development of standard operating procedures. Moreover, the newly developed set of standard operating procedures for issuing drivers licences at the MM DLTC, would certainly be valuable to the Madibeng Municipality. More details about the significance and contribution of this study is presented in the following section.

## **1.8 SIGNIFICANCE OF THE RESEARCH**

Unique to this study is the link between the development of standard operating procedures and the implementation thereof as an internal control mechanism within the DLTC environment. The empirical approach enabled a holistic view of methods and procedures and the effect thereof on issuing drivers licences. A comprehensive overview of methods and procedures at the MM DLTC was sketched because numerous sources, official documentation, drivers licence registers and records, DLTC employees and management representatives were consulted during the literature review, document analysis and the data collection process. Complementing the literature review about the determining and revision of methods and procedures in public administration, the decline and course of internal control mechanisms was also



analysed. Furthermore, legal requirements were considered during the development of the procedures of issuing driver licences.

The literature review revealed that, as a generic administrative function, the concepts methods and procedures are intertwined and form an integral part of the activities of public managers and officials with the aim of ensuring compliance with legislation. As a process, methods and procedures is an interdependent and interrelated process which receives inputs, acts upon them while considering feedback from the environment, and then produces outputs. It was eventually confirmed that methods and procedures are significant in the South African public service because of the growing need to coordinate the activities of public officials in all the spheres of government, specifically at the Driving Licence Testing Centre of the Madibeng Municipality at the local sphere of government.

The significance of this study is further found in the conceptualisation of the internal control system of the Driving Licence Testing Centre of the Madibeng Municipality; comprising of various internal control mechanisms that were designed to promote, govern and check upon the performance of the Driving Licence Testing Centre. It became clear that although the internal control system of the MM DLTC has benefits, it is often faced with challenges and features that may affect it negatively. It was also revealed that one of the primary obstacles to implement internal control, is that the staff generally resists control, especially if they have not been included in developing the control mechanisms or do not understand the objectives that must be met. Control is consequently perceived as unreasonable and an impediment towards creativity and initiative. However, if the officials understood what would be achieved by applying control measures, they might willingly accept the activity as inevitable. In essence, the internal control system at the Centre should be maintained and re-conceived so that, amongst other objectives, errors and non-compliance with legislation, policies, and methods and procedures is minimised. Based on the empirical research, it is suggested that the control system be re-conceived such that not only top-management of the Municipality, but also officials at operational level propose changes. As in the case with standard operating procedures, input and suggestions from employees must be considered when the internal control mechanisms are identified and implemented. This can be done by including them from an early stage of designing the system. The study confirmed that an internal control system is not self-sustainable and that it has to be maintained to ensure continuous and effective monitoring and evaluation. It was also revealed that an internal control system should be designed to ensure that ongoing monitoring occurs during the course of normal operations. To achieve the objective of developing a set of standard operating procedures to issue driver licences

at the MM DLTC, was about addressing the identified needs and gaps, and resolving problems through collaborating efforts and solutions.

The contribution of this study of the development and implementation of methods and procedures to issue driver licences is further found in the basic framework for the development of standard operating procedures. This study thus joined the mounting interest in the discipline, Public Administration that is, utilise frameworks in which public policy implementation is more likely to succeed, and produce a guideline for the development of standard operating procedures. It was concluded that the framework for the development of standard operating procedures should comprise of procedure analysis, procedure formulation, procedure adoption, procedure implementation, procedure monitoring and evaluation as well as continuous feedback and review.

Based on the empirical research, it was concluded that there is indeed a lack of standardised procedures at the MM DLTC. However, although outdated, the existing procedures at the MM DLTC aim to promote consistency in the actions of the employees. It was also concluded that standard operating procedures promote better utilisation of resources and that the implementation of standard operating procedures lead to improved workflow in issuing driver licences as well as increased productivity of the Centre. Furthermore, it was concluded that the utilisation of standardised procedures contribute towards the achievement of objectives through teamwork.

## **1.9 ETHICS CLEARANCE**

Since the significance and contribution of this study depends largely on the integrity of research, the following principles guided this study (Singaporestatement 2010:Online):

- Honesty in all aspects of research.
- Accountability in the conduct of research.
- Professional courtesy and fairness in working with others.
- Good stewardship of research on behalf of others.

These principles are advocated by the 'Singapore Statement on Research Integrity' that was developed as part of the 2<sup>nd</sup> World Conference on Research Integrity, from 21 to 24 July 2010, in Singapore, as a global guide towards responsible conduct of research. The Singapore Statement have a lasting effect on research integrity and the four principles – honesty, accountability, professionalism, and stewardship – form the foundation for further research about global research integrity in 2013 during the 3<sup>rd</sup> World Conference on Research Integrity held in Montreal, Canada, during the 4<sup>th</sup>

World Conference on Research Integrity held in Rio de Janeiro, Brazil, in 2015, as well as in 2017 during the 5<sup>th</sup> World Conference on Research Integrity held in Amsterdam, the Netherlands (National Research Council Canada 2013:Online; World Conference on Research Integrity 2015:Online; International Council for Science 2017:Online). With these principles in mind, the researcher applied for ethics clearance from the Research Ethics Review Committee of the Department of Public Administration and Management. The purpose of applying for ethics clearance was to identify, estimate and evaluate the potential risk of harm of the research to the participants, the researcher, the academic department and the institutions that is, the University of South Africa and the Madibeng Municipality. Ethics clearance for this study was acquired on 24 March 2016 prior to collecting data (see Appendix A). Data collection took place after permission to conduct the study was acquired from the Madibeng Municipality on 29 July 2016 (see Appendix B). The ethical considerations that governed this study are elaborated on in detail in Chapter 4, Section 4.12 (*Ethical considerations*). The sequence of the chapters is listed in the section that concludes this chapter.

## 1.10 STRUCTURE OF THESIS

The chapters were divided according to a logical succession to reach the research objectives. A brief overview of each chapters is provided below:

- **Chapter 1** as an introductory chapter, includes the background to the study. The problem statement is defined, including the research questions, aim as well as research objectives. It also provides the scope of the research and a thorough conceptual analysis. This is followed by a brief discussion of the research design and methodology. Hereafter, an explanation of the significance of the research is provided followed by the reasons for acquiring ethics clearance. The structure of the thesis concludes the chapter.
- **Chapter 2** presents an in-depth literature review of determining and revision of methods and procedures. The literature review is derived from published literature, including scholarly articles, dissertations, industry surveys, reports and textbooks focused on procedures, methods and policy implementation. Different perspectives on methods and procedures is provided within the context of Public Administration. The chapter also presents the theory of scientific management, theory of bureaucracy, systems theory and the public choice theory. This chapter also explores the nature and scope of methods and procedures by highlighting different types of procedures, significance, advantages and disadvantages as well as the circumstances that necessitates methods and procedures in public institutions. Furthermore, specific reference is made to standard operating procedures and the benefits thereof.

- **Chapter 3** presents standard operating procedures as an internal control mechanism by reviewing an internal control system and internal control mechanisms that could be of value to the MM DLTC. Internal control is defined before the changing role of internal control and its theoretical foundation is described. The internal control regulatory framework is then outlined. The primary components of an internal control system and the leading internal control mechanisms, of which standard operating procedures is one of the mechanisms, is elaborated upon in detail. Significant role-players in internal control as well as the importance of the evaluation of an internal control system, is also highlighted.
- **Chapter 4** focuses on the research design and methodology. The chapter commences with the research philosophy and an explanation of the selected mixed methods research design. This is followed by exploratory, descriptive and explanatory research which is defined to formulate the research approach. Literature review, case study research method, document analysis and empirical research is expounded upon as the research methodology adopted for this study. The population and sampling techniques are subsequently described followed by detail descriptions of the data gathering instruments, namely: questionnaire and personal interviews. The data analysis cycle and processes are also presented including the strategies followed to formulate a framework for the development of standard operating procedures. Aspects such as validity, reliability, trustworthiness and ethical considerations is also included in this chapter.
- In **Chapter 5** the focus is on a historical overview of issuing driver licences and driver fitness regulatory institutions. The structure and scope of DLTCs in South Africa is also described. Furthermore, the purpose, structure and functions of the MM DLTC is investigated. Organisational charts are utilised to reflect the methods and procedures of issuing learner's licences, driver's licences and professional driving permits. The newly drafted set of standard operating procedures of issuing driver licences concludes the chapter.
- **Chapter 6** focuses on the data analysis and findings. The chapter commences with an analysis of the quantifiable data acquired from the questionnaire before the data analysis and findings of the qualitative data is presented. The data is presented graphically through tables, pie charts and bar charts.
- **Chapter 7** of the thesis is the concluding chapter. It explains how the systems theory and the ADDIE instructional design model was utilised during the development of procedures to issue driver licences and produce a basic framework for the development of standard operating procedures. The latter accentuates the contribution of the study to the discipline, Public Administration. The chapter also provides a synopsis of the chapters of the thesis, as well as a

summary of how the objectives were achieved. The conclusions are presented, and recommendations for the development of standard operating procedures is provided. Furthermore, the limitations of the study are highlighted before suggestions for areas of further research conclude the chapter.

### **1.11 SUMMARY**

This chapter provided the background to the study, by stating the research problem as the lack of contemporary and relevant standard operating procedures that impedes the effective issuing of driver licences at the MM DLTC. Seven questions were subsequently identified towards resolving the problem at the MM DLTC. It was envisaged that the practical nature of the problem and research questions would not only enhance the development and implementation of standard operating procedures at the MM DLTC, but also empower Public Administration as a discipline through a better understanding of the value and benefits that methods and procedures can make. The aim of the study was subsequently set on providing recommendations of how to develop and implement standard operating procedures to issue driver licences. Four objectives were identified to acquire the purpose of the study. The research questions and objectives resulted in proposing a basic framework for the development of standard operating procedures to issue driver licences at the MM DLTC. These aspects contributed towards this study. The scope of the research was also described and a thorough conceptual analysis was provided to lay the foundation for the following chapters. The mixed methods research design was identified as the preferred method to conduct this study. Consequently, ethical considerations was expounded upon. Following an explanation of the significance and the contribution of the research, the structure of the thesis concluded the chapter. The following Chapter presents the literature review for determining and revising methods and procedures in public administration.

## **CHAPTER 2: DETERMINING AND REVISING METHODS AND PROCEDURES IN PUBLIC ADMINISTRATION**

### **2.1 INTRODUCTION**

The identified research problem is that the lack of contemporary and relevant standard operating procedures impedes effective issuing of driver licences at the MM DLTC. An extensive literature review was conducted to find probable solutions to the problem. The available body of knowledge has been explored to establish how researchers and academics perceive the significance of methods and procedures within Public Administration as an academic discipline and public administration as government processes aimed to meet the needs of the citizenry. Diverse perspectives on methods and procedures as well as existing theories were analysed in terms of the historical as well as modern developments in Public Administration to provide the foundation for the envisaged framework for the effective and efficient development of standard operating procedures.

Generally, literature reviews identify and describe relevant theories, models and approaches concerning a particular topic. A literature review thus justifies this study by identifying knowledge gaps in the specific area which is researched (Pollitt 2016:68 & 72). A literature review further provides a framework to determine the relevance and significance of a study. With mixed methods research, as in the case of the study into methods and procedures at DLTCs, the literature review exposed gaps and trends in recent studies (De Vos, Strydom, Fouché & Delport 2002:263). Therefore, as recommended by Blaxter, Hughes and Tight (2001:110) a literature review was conducted to summarise and assess the range of existing material on methods and procedures.

In this literature review, two philosophical approaches, i.e. an epistemological pluralism and a methodological approach, was applied. This was necessary to establish what had already been learned about public methods and procedures. The concept 'epistemic' may be freely referred to as knowing, and pluralism generally implies multiplicity (Teffo 2011:25). The epistemological pluralism approach is revealed in a variety of perspectives and different theories to attain a complete theoretical framework for the determining and revision of methods and procedures in public administration. The methodological approach relates to the procedures used in completing the literature review. The methodological procedures were qualitative in nature and the data was collected from journal articles, unpublished dissertations and theses, published and unpublished research reports, public administration textbooks,

the World Wide Web (internet) and relevant legislation. A deductive approach was followed by initially exploring perspectives and theories, before narrowing the literature review to the specific nature of standardised procedures.

This chapter is divided in five main sections. It was confirmed in Chapter 1, section 1.6 (*Conceptual analysis*) that the determining and revision of methods and procedures (hereafter referred to as 'methods and procedures') initiate and link all components of the generic administrative functions. Furthermore, methods and procedures form an indispensable part of any public organisation's functions and processes. The first section of this chapter studies various perspectives on methods and procedures. The historical perspective highlights the paradigms in the development of public administration, which is followed by an institutional perspective towards studying methods and procedures. The institutional perspective confirm that the open school of thought is appropriate for this study. A legal perspective on methods and procedures will then be provided. This section is concluded from a service delivery perspective.

The theory of scientific management, theory of bureaucracy, systems theory and the public choice theory are explained in the second section. The systems theory is highlighted as the most applicable for this study. The nature and scope of methods and procedures is addressed in the third section. The significance, advantages and disadvantages as well as the circumstances that dictates methods and procedures is discussed. Barriers towards successful implementation of methods and procedures in public institutions are also identified. Specific reference is made to standard operating procedures in the fourth section of the chapter. The chapter is concluded with a brief overview of the general guidelines for drafting standard operating procedures in the fifth section.

The following section explains different perspectives on methods and procedures.

## **2.2 PERSPECTIVES ON METHODS AND PROCEDURES**

Studying methods and procedures through a multiplicity of perspectives deepens the understanding of its theoretical framework in today's public service. Well-known perspectives applicable to the study of methods and procedures include the approaches identified by Basu (2004:65-83), for example, historical, institutional and legal perspectives. A service delivery perspective is also added with reference to the *Batho Pele* principles. The institutional perspective is explained through the open and closed schools of thought, and legal principles that must be respected when methods and procedures are developed. Theories that compliment these perspectives are analysed in the subsequent section.

### 2.2.1 Historical perspective

The section provides an overview of the history of public administration to illustrate how historical developments influenced general trends in determining and implementing methods and procedures. The historical perspective is provided by highlighting the paradigms in the development of public administration. The paradigms set by Henry (2013:27-52) and Basheka (2012:25) were utilised to structure the historical perspective. Theorist's key thoughts were underlined and then explained in relation to methods and procedures. The historical perspective is presented in chronological order, starting with Woodrow Wilson in 1887; effect of transformation in the 1960s and 1980s; move from government to governance and the rise of the new public service in 2010; including 2015 in which public administration is dominated by globalisation, technology and internalisation.

#### 2.2.1.1 *The politics/administration dichotomy (1900 – 1926)*

It is generally accepted that Public Administration as a discipline originated in 1887 with the publication of Woodrow Wilson's article entitled *The Study of Administration* (Thornhill, Van Dijk & Isioma 2014:6). The central point of Wilson's dichotomy of politics and administration is that the legitimate authority to make public policy should exclude ordinary public officials, while limiting the authority to elected officials, politicians and the courts. Wilson was primarily concerned with what governments should do and how it should be done with minimum cost and limited resources. He wanted to reach maximum efficiency in government departments. Wilson's politics/administration dichotomy gave rise to a top-down policy- and procedure-making approach in which the procedure end-users are excluded. Though it is currently acknowledged that Wilson's politics/administration dichotomy is no longer dogma, the value of his contribution as the foundation for the study of public administration, cannot be denied (Wilson 1887:120-125).

In addition to Wilson's article, two other books also opened the pathway for Public Administration as a discipline during the first two decades of the century. In 1900, in his work *Politics and Administration*, Frank J Goodnow highlighted the same two functions of government that were highlighted by Wilson, namely: politics and administration. The politics/administration dichotomy reflects the "*will of the state*" and the "*execution of policy*" (Goodnow 2003:17-26). Again, the political policy- and procedure-making authority rested with the politicians and top management, and the implementation thereof is exclusively reserved for the administrators and public officials. Leonard White's book entitled *The Prestige Value of Public Employment in Chicago: An Experimental Study*, written in 1929, is considered the first true textbook in Public Administration. White concluded that administration is a unitary process



studied at all spheres of government (White 1929:2-24). Furthermore, White (1955:2) also related to the politics/administration dichotomy and argued that policy-making is not part of the administrative processes. The publications by Goodnow and White are considered the foundation in the development of Public Administration and attached academic legitimacy for the study thereof as a discipline.

During the paradigm from 1900 to 1926, the implementation of methods and procedures was seen solely as an administrative task. It was only during the era of challenge, that policy-making and therefore the determining of methods and procedures was perceived as an integrated process in which role-players from different organisational levels participated in conjunction with each other.

### **2.2.1.2 Principles of Administration (1927 – 1937)**

The second paradigm in the development of Public Administration began with the publication of WF Willoughby's *Principles of Public Administration* in 1927, and developed through the works of several notable scholars, such as Mary Parker Follett, Henri Fayol, James Mooney and Frederick Winslow Taylor (Basheka 2012:41 & 42). Mary Parker Follett's contribution rests on her understanding of how organisations work and her quest for participating management. By recognising the need for participating management, Follett (1927:62-64) introduced an innovative approach towards the determining and revision of methods and procedures in which feedback is sought continuously. Unfortunately, she did not elaborate extensively on the effect of the external environment on organisational structures and processes.

An important aspect of Henri Fayol's work was the articulation of the first comprehensive theory of management. Fayol (1923:99-114) shaped the thinking of management so that it could be applied by any organisation. In his work, he accentuated aspects such as the division of work, authority and responsibility, within an organisation. All these aspects are characteristics of traditional organisations.

Frederick Taylor is known for his *Principles of Scientific Management*. In this study, Taylor's theory of scientific management is considered as the origin of standard operating procedures. His proposed scientific management aimed at increasing productivity through the fastest, most efficient and least fatiguing production procedures. Taylor (1911:36-37 & 110) observed the differences between individuals and their methods of doing a particular task. Taylor advocated streamlined work procedures as the most suitable approach to perform a task. He suggested that standard operating procedures should be imposed on the entire workforce. Regrettably, Taylor did not recognise the significance of the attitudes of workers towards increased productivity.

The study conducted by Max Weber on the emergence of modern rational organisations is perceived as the most inclusive analyses of modern complex organisations ever undertaken (Morgan, Green, Shinn & Robinson 2013:178). Weber's model, known as the ideal type of bureaucracy, underscored a fixed organisational structure with characteristics such as rules, regulations and the division of labour. Weber revealed that supervision is easier through written rules, than through individual judgement. Weber bargained for written rules and procedures. He advocated a form of bureaucracy centres around too formalistic and rule bound ideal organisational structures. He somehow neglected the organisations external environment. Consequently, organisations that exclude external processes could affect organisational performance. Despite this shortcoming, a significant contribution towards methods and procedures is relevant in Weber's advocacy that bureaucracies should maintain extensive written files of management's decisions (Weber 1922:24-6, 215-217 & 237; Weber 1947:326).

A landmark publication in 1937 was the *Papers on the Science of Administration* by Luther Gulick and Lyndall Urwick. Gulick introduced the acronym POSDCORB that stands for planning, organising, staffing, directing, coordinating and budgeting, as the tasks of the chief executive. Gulick and Urwick did not list the determining and revision of methods and procedures as a management task, but their influence on public administration is prominent. Moreover, they shaped the distinction between management and administration (Gulick 1937:80). Other important developments during the period 1927 to 1937 was the establishment of the *American Society of Administration* in 1939 and publication of the leading journal in Public Administration; the *Public Administration Review* (Shafritz & Hyde 2007:11).

Wilson's politics/administration dichotomy was challenged frequently by *inter alia*: Chester Bernard. Bernard (1938:11,82 & 86) saw an organisation as a system in which a variety of functions are performed in a cohesive manner to reach a specific goal. He distinguished between formal and informal organisations, and advocated that organisations should establish a degree of equilibrium between its goal and the motivation of its employees.

Notably, during the 1927 to 1937 paradigm, bureaucracies expanded and demands for better organisation and control increased. This paradigm also marked the origin of standard operating procedures with Fredrick Taylor's *Principles of Scientific Management*. Key theories from this period are all central to the classical organisation theories, such as the scientific management theory and the theory of bureaucracy. However, according to Shafritz and Hyde (2007:11) and Nzewi (2013:15), the traditional view that methods and procedures directly control a designated area is

perceived as too rigid and considered as a 'red light' in modern studies of public organisations.

### **2.2.1.3 Era of challenge (1938 – 1947)**

A human behavioural approach was a significant theme during the 1938 to 1947 paradigm in which Public Administration evolved as a separate discipline from its co-discipline, Political Science (Thornhill, *et al.* 2014:9). The human behavioural approach rejected stagnant procedure-making because it considers the individual's control over his/her own working environment in the workplace (Shafritz & Hyde 2007:66). As organisations grew larger and top-down control progressed, influential arguments against fixed and rigid methods and procedures continued to develop. Public Administration experienced an uncertainty about the direction in which it was to develop as a result of publications by influential writers. Subsequently, certain Public Administration scholars left the field and believed it safer to remain under the mother discipline, Political Science. During this paradigm, primary arguments moved away from methods and procedures by advocating a flexible humanistic approach at the workplace (Hanekom & Thornhill 1993:34 & 35). In 1940, Robert Merton (1940:563) wrote, for example, that there is a tendency for rules and procedures to "*become more important than the ends they were designed to serve*". Merton (1940:564-565) also cautioned that the demands on officials to conform to bureaucratic regulations results in rigidity and difficulties to manage the general public.

Mayo (1946:9) redefined the workplace as social situations. He acknowledged interpersonal relations in groups as well as personal recognition as key themes in the field of organisational behaviour. Herbert Simon belonged to Elton Mayo's human relations school, added a human dimension to Public Administration which encouraged the study of the individual and his behaviour in organisations (Simon 1946:53, 54 & 65). Herbert Simon (1946:53) also abandoned the dichotomy in 1946 with his essay *The Proverbs of Administration*. In 1947, in a follow-up article *Administrative Behavior: A study of Decision-making Processes in Administrative Organization*, Simon (1947:16-24) critically analysed his own principles of administration. In fact, Simon's article published in 1947 presented an attack on Public Administration as a discipline when he theorised several questions about how organisations made administrative decisions.

Robert A Dahl's article *The Science of Public Administration* published in 1947 served as a challenge to the discipline. He questioned the scientific nature of Public Administration. Conforming to the trend of thought in this era, Dahl encouraged the acknowledgement of the complexities of human behaviour (Dahl 1947:7). These

statements led to the abandonment of inflexible standard operating procedures because it was perceived as an administrative burden.

Public Administration changed its character and scope after World War II. In 1948, Dwight Waldo (1948:121), for example, questioned efficiency in his book *The Administrative State*. Waldo's work stated that issues of justice, equality and participation were ignored in place of efficiency and control.

#### **2.2.1.4 Era of identity crisis (1950 – 1970)**

During the 1950s and early 1960s, Public Administration suffered from a lack of belonging and was accused of being concerned with the low-level functions of government. Furthermore, Public Administration was no longer welcome under the discipline, Political Science. Since Public Administration needed to find its rightful place as an academic discipline, vigorous attempts to redefine it as independent were made at a number of international conferences. A milestone conference was held at the Minnowbrook Conference Centre at the Syracuse University in 1968 in which traditional and emerging theories of public administration were presented and discussed (Basheka 2012:50). Alternative perspectives were presented by focusing on anomalies within traditional theories. What emerged from the Minnowbrook conferences is that public administrators should not only be responsible for policy implementation, but also for policy-making; thus extending the boundaries of public administration. Despite this positive contribution, tension between the values of efficiency and performance on one hand, and legal and democratic values, such as accountability, equality, and transparency, on the other hand, became increasingly evident in the literature in this era (Thornhill & Van Dijk 2010:103).

In 1967 in South Africa, JJN Cloete (1967:58) proposed an analytical framework for South African Public Administration by identifying six generic administrative processes. Cloete distinguished the following generic administrative processes, policy-making, organising, financing, staffing, determining work methods and procedures and controlling (Thornhill 2012:87). As described in Chapter 1, these generic processes are mutually inclusive; implying that collectively they constitute the effective and efficient functioning of the public service (Thornhill & Van Dijk 2010:101). To fully benefit from the growth in South African Public Administration as a discipline in this era, these generic administrative processes needed to reflect in written documents in the line functions on all the spheres of government.

Also important during the era of identity crisis, is that Charles E Lindblom (1959:79-88) explored the rational model of the decision-making process as being dependent

on a sequence of individual steps. Lindblom's decision-making process is similar to the way in which standard operating procedures are determined.

By the end of the 1960s, calls for the decentralisation of public services were heard. In 1969, Kaufman, for example, pleaded for public involvement during policy implementation (Kaufman 1969:1-15). Late during the 1970s, negative aspects, such as mismanagement, nepotism, political patronage and rigid bureaucracy, increasingly feature in public administration. Universally, governments were under pressure because they were accused of inefficiency, red tape and poor service delivery. The negative connotation associated with public standard operating procedures was indeed confirmed (Shafritz & Hyde 2007:182). Basheka (2012:51) posits that "*Government was regarded as part of the problem not part of the solution*". The era of identity crisis truly labelled methods, procedures as stagnant, ineffective and red tape.

#### **2.2.1.5 From Public Administration to Public Management (1970 – 1990)**

During the particular paradigm period from 1970 to 1990, Pressman and Wildavsky (1973:320 & 321) defined policy implementation as a process of interaction between the determining of objectives and the actions needed to achieve the objectives. They hinted that it is fundamental to indicate who needs to perform a task, with what resources, when, how and why. Pressman and Wildavsky (1973:322) stressed that input from all relevant sources is necessary to prevent the policy design process being separated from policy implementation.

From 1970 to 1990, Graham Allison examined the Cuba missile crisis of October 1962 by utilising three different models of decision-making. Model I followed a rational-human approach and Model II was founded on an administrative process. Allison defined the behaviour of organisations as routine actions performed in line with fixed standard operating procedures in the bureaucratic politics model. He suggested that repetitive tasks need to be clustered together for optimised performance. Allison explained that each organisational unit (described as a *cluster*) comprises of a combination of related functions that eventually determine the workers behaviour. He highlighted that complex tasks require additional individuals to complete the undertaking. He concluded that the greater the number of employees, the more important are programmes and repertoires as determinants of the organisational behaviour (Allison 1970:501). Amitai Etzioni, critique Allison's work and suggested a mixed scanning decision-making method. Etzioni (1986:8) argues that mixed scanning decision-making comprises of positive features of both the incremental and rational-comprehensive approaches proclaimed by Allison. In 1979, Allison and Szanton (1976:20) acknowledged that the gap between the private and public sector had

narrowed and that the interaction between public managers and private managers had increased.

The 1980s is remembered by a development crisis in sub-Saharan Africa. A decline in service delivery in the majority of African countries was just one of the manifestations of the development crisis. New modes of public service delivery relied more on private business-like styles. The utilisation of the public choice theory of decision-making that perceives decisions as market driven was accentuated. The shift from administrative bureaucracy to entrepreneurial organisation was labelled the New Public Management movement. Public management provides an alternative to the bureaucratic way of promoting the public interest, by assigning a special role to managers. For optimum realisation of the public interest, public managers must achieve accountability by clarifying tasks, providing resources, motivating staff and monitoring compliance with set rules and procedures. Public management as an administrative function is not without its critics. Public management sceptics focus on the privatisation of democratic values and the public interest (O'Connell, Yusuf & Hackbart 2009:411 & 412).

In the 1990s, New Public Management became prevalent throughout the US and UK bureaucracies through scholars such as David Osborne and Ted Gaebler and Peter Plastrik. These scholars underscored competition, privatisation, decentralisation, innovation and empowerment as significant values to reform and reinvent government. The new public management theorists stressed a public-choice approach to organisation. They also favoured smaller and functionally homogeneous bureaucracies. Standard operating procedures would only be welcomed as democratic, flexible and decentralised procedures. Indeed, New Public Management re-introduced standard operating procedures to public administration, but only as part of a free-market orientated government (LeMay 2006:132 & 133).

#### **2.2.1.6 From Public Management to Governance (Late 1990s to 2009)**

The debate over public and private sector roles continued to be a major theme from 1990 to 2009. The belief that the lack of good governance is the primary impediment to economic growth in Africa was firmly set following a World Bank report published in 1989 which declared that "*Underlying the litany of Africa's development problems was a crisis of governance*" (The World Bank 1989: 60). With this statement, the concept of *governance* was introduced to public administration. In the late 1990s, Janet and Robert Denhardt proposed a new public service model in response to the dominance of New Public Management during the preceding paradigm. This successor model to New Public Management was labelled the digital-era governance. It focused on the

reintegrating of government responsibilities through digitalisation (Denhardt & Denhardt 2000:552 & 554).

A highlight in the transition to democracy in South Africa was the first democratic election held in 1994. This remarkable event brought about a number of changes that included the introduction of a non-racial government and equal representation of citizens in the public service. Every citizen has an equal opportunity to participate in the government's decision-making processes, and to participate in policy-making, including the determining of methods and procedures. With specific reference to the determination and revision of methods and procedures as a generic administrative function in Public Administration, the focus shifted during the years following the first democratic election from rigid procedural correctness to transparent, participatory and efficient methods and procedures with human rights as foundation (Woodhouse 1997:221). From the literature reviewed, it is evident that there is a tendency since 1994 to acknowledge the significant role that methods and procedures plays in reaching policy objectives and ensuring administrative accountability. In the latter part of the 1990s, globalisation and the arrival of the Internet applied pressure on governments to reduce most of their traditional responsibilities. Governments had to engage in private partnerships, the private sector, associations of government, as well as a host of other non-state role-players. Governments moved away from their control and authority over the public towards the configuration of methods and procedures through agreements with the citizenry.

In 1998, Guy Addams and Danny Balfour wrote about administrative ethics with the purpose of unmasking fixed and pre-specified procedures. They unveiled reprehensible actions during the Nazi Holocaust to illustrate how serious the consequences of problematic, outdated, careless and imprudent methods and procedures can become (Adams, Balfour & Reed 2006:680). Adams, *et al.* (2006:680-693), continued their fight against evil administration in 2006 when they addressed ambiguity in interrogation policy and standard operating procedures during the torture and abuse of detainees at the Abu Ghraib prison and at other sites in Iraq, Afghanistan, and Cuba. By now, rigid and fixed methods and procedures had entirely lost its place in government. Through public participation, a way was found to re-introduce standard operating procedures as innovative and flexible procedures aimed at continuous improvement and the reaching of organisational goals.

In South Africa, the first democratic election took place in April 1994. The first democratically elected government took the chair after decades of Apartheid and oppression. Every citizen was granted an equal opportunity to participate in the government's decision-making processes. Free access to information became a

signpost for liberated South Africans. An information revolution erupted and the demands and needs from the South African public were voiced through a host of channels and forums. The South African government could no longer keep pace with the increasing demands of the new democratic society by only adding more size, restructuring or shifting resources. During this period, arguments within Public Administration pleaded for a swift move from fixed structures towards flexible and fluid processes and procedures. A large number of non-government actors, primarily management consultants, started to play a critical role in the management of government institutions. Management ideas from the private sector flowed into the government processes and the pathway was created for the private sector to deliver public services. The utilisation of the private sector to assist in service delivery complicates the management of the public sector because public administration is not concerned with profit despite the private sector's expectation that any expenses incurred should be less than the revenue collected.

Rigid hierarchical structures faded in time and unofficial information sources, such as tender documents, contracts and written agreements with consultants, project progress reports and public-private partnership agreements became familiar guidelines for policy implementation in South African public administration. The government relied more on unofficial documents and guidelines, including instructions from Director-Generals, internal memoranda, minutes of meetings, personnel codes and training material, to govern policy implementation. Departmental websites also came to the fore with the increase in information communication technology and the rise of e-government. These information sources and other unofficial guidelines, such as expert/specialised textbooks or research results and statistics, are not legally binding, but are often effective tools for policy implementation (Brandsen, Boogers & Tops 2006:546).

Unofficial guidelines are successfully used in multifaceted and problematic organisations in which hierarchy is not easily defined. For this reason, it needs to comprise first-rated and expert information. Since 2000, unofficial guidelines eventually became the forerunner of policy changes in South Africa. In practice, unofficial guidelines were used hand in hand with legislation and formal mechanisms of accountability. It thus became an extension of the formal regulatory framework at the public administration workplace in South Africa. Standard operating procedures were interpreted as rules that must be complied with, and the line between standardised procedures and formal legislation became blurred (Brandsen, *et al.* 2006:546 & 547).



As a result of more frequent cooperative arrangements between governments and the private sector (Henry 2013:38), Donald Kettl provided strategies in 2002 for a new more inclusive public service. The strategies centred on the notion that public managers had to rely on internal processes and procedures to cope in continuous changing environments (Kettl 2002:584).

For the period 2008 to 2010, no major academic theory developed. In South Africa and globally, governments realised that the public sector needed to portray modern images and simultaneously provide services to society (Theletsane 2014:837). This led to a new paradigm in the history of public administration from 2010.

#### **2.2.1.7 From Governance to New Public Service (2010 to date)**

The paradigm since 2010 is characterised by a progression of public administration in African countries (Mathebula 2014:937), and by the notion that government institutions should “*steer rather than row*” (Denhardt & Denhardt 2000:551). From 2010, methods and procedures maintained a formidable presence in government institutions in the form of unofficial guidelines; influencing the way in which governments deliver public services and products.

The major challenge for Public Administration in the years ahead is to reinvent a framework for a more inclusive government that is based on public choices and public participation (Basheka 2012:61). Governments and Public Administration researchers and scholars must continue to view fixed and stagnant methods and procedures with a reasonable degree of scepticism, and provision must be made for flexible procedures formulated through the input and feedback from internal and external role-players. The internal role-players should be encouraged to include evidence when requesting procedural changes at operational level. Management must consequently approve the amended procedures (Nzewi 2017:3 & 4). A bottom-up procedure-making process supported by evidence and information that are accurate, complete, cost-effective, appropriate and truthful, is thus advocated by this study. It gradually becomes clear that the complexity of tasks as well as the nature of the institution often determines the extent to which methods and procedures are successfully applied. An institutional perspective on methods and procedures are therefore provided below.

### **2.2.2 Institutional perspective**

An institutional approach toward the study of methods and procedures is concerned with the processes of how organisations conform to policies, rules and standards (Scott & Small 2013:8-10). This approach is based on the premise that institutional structures are the defining features that shape the actions and behaviour of employees within an organisation (Dawson 1996:107). The primary idea is that most institutional

actions and behaviour reflect a pattern of doing things that evolved over time and then became legitimate within the organisation. In modern times, legitimate practices take cognisance of an organisation's internal and external environments and continually adapt to changing conditions to prevent its functions and processes from becoming outdated. Therefore, the manner in which an organisation secures its position within the broader operating environment, determines the institutional model or school of thought practiced by that organisation. Indeed, the organisational culture and unwritten rules also contribute towards the type of institutional model (Scott & Small 2013:9). The way in which methods and procedures are drafted and implemented within an organisation, is also determined by the institutional model followed by that organisation.

Since an institutional perspective on methods and procedures is crucial to this study, it warrants clarification in terms of the open and closed school of thoughts. At least two main institutional schools of thought, i.e. the open and closed schools of thought, developed over time. Furthermore, the concept of *new institutionalism* emerged in the 1980s from a sociological view on institutions (Thoenig 2012:130-133). Important to this study is the traditional school of thought, also known as the closed school of thought, and the more recent and dynamic open school of thought. There are distinct differences between these two schools of thought. Within the context of traditional public administration, it is generally accepted that decision-making power or the authority to determine public policy, lies with the government of the day. The implementation of the government decisions or public policy is seen as the responsibility of a bureaucracy. The politics/administration dichotomy thus exists within the closed school of thought. The open school of thought rejects isolated policy-making and implementation processes and introduced an integrated approach with a notion of consulting all role-players during policy-making, and by eliminating the top-down decision-making approach. These and other characteristics of these types of institutions are now described to better analyse the nature of methods and procedures in different types of institutions (Tosi 2009:14).

#### **2.2.2.1 Closed school of thought**

The closed school of thought limits public participation with the result that limited input and feedback is provided during the procedure-making processes. Closed systems tend to be more distant from their external environment and less dependent on environmental influences. By focusing primarily on internal structures and procedures, the interaction between the organisation and the external environment that comprises the legislature, courts, other governmental departments, political parties, interest groups, trade unions, the media, auditors and sociocultural norms and values, is

ignored. Theorists from the closed school of thought advocate fixed structural arrangements and the division of labour, such as the specialisation of individual labour roles, fixed chains of command and hierarchical structures. Standard operating procedures are strictly viewed as instruments to measure and control tangible assets (Cummings 2001:2056).

Traditional theorists assume that organisations are somehow alike and predictable and proclaim formal organisational networks and relationships as the basis for all organisations (Cummings 2001:2056). Such a narrow focus limits the constant enhancement of methods and procedures simply because the interaction between internal and external processes, functions, values and variables are denied (Tosi 2009:12 & 13).

The open school of thought is explained in the following subsection.

#### **2.2.2.2 Open school of thought**

In contrast to the closed school of thought, open systems and their external environments are closely related and more dependent on each other. Open organisations are more informal and therefore, more adaptable to changing circumstances. Theorists from the open school of thought advocate that an organisation should be structured such that the methods and procedures are easily integrated into the goals and mission of the organisation (Morgan, *et al.* 2013:178). Although theorists from the closed school of thought seem to be the founders as well as the advocates for the effective and efficient use of standard operating procedures, keeping an organisation in balance with its external environment enable methods and procedures to be developed and adapted during times of change (Von Bertalanffy 2008:106). A flow of information between the internal and external environment enables constant improvement, sustainability, self-regulation and self-organisation within the organisations' processes (Cummings 2001:2056 & 2057).

The preferred institutional approach in this study is the open school of thought. When examining the development of standard operating procedures from an institutional perspective, clear steps and instructions of how to reach organisational objectives will be specified. Not only administrative efficiency, but also legal principles will be built into the procedure development process. The legal principles that shape the environment in which methods and procedures are developed is discussed below.

#### **2.2.3 Legal perspective**

A legal perspective on public methods and procedures studies public administration through the eyes of constitutions, Acts and court judgments, familiarise with the laws

and regulations that govern the administrative processes (administrative law), administrative processes as part of courtroom procedures (judicial law-making), and citizen's rights (constitutional law) (Basu 2004:66). A legal perspective on methods and procedures argues that standard operating procedures is law in action and has the force of delegated legislation (Vigoda 2002:3). In this regard, lawfulness governs and regulates the nature and utilisation of standard operating procedures in the public workplace (Alvarez & Hall 2008:831).

But how does delegated legislation come into existence? Due to a lack of time and expertise, Parliament only prescribes a basic policy framework and then delegates the authority to determine methods and procedures to responsible authorities on the three spheres of government. Delegated legislation is then promulgated by the institution to which Parliament has delegated such authority. A notable challenge is that it is often difficult to enforce accountability when unmeasurable provisions, like 'in their discretion' or alternative steps, are part of the proclamations or standard operating procedures (Thornhill 2012:278 & 279).

Legal and judicial principles must be followed during this process without jeopardising organisational values and culture. However, because the legal approach toward studying methods and procedures focuses primarily on laws and legal structures and processes, it often excludes organisational culture and human behaviour. Fortunately in public administration, key underpinnings, such as transparency, accountability and public participation, provide a platform on which morality and culture is sustained while upholding administrative justice of which lawfulness is a significant component (Brynard 2014:376 & 377). It is, therefore, strongly advisable to align legal principles with organisational culture, human behaviour, routine behaviour and the influence of the external environment on an organisation, when determining standard operating procedures.

### **2.2.3.1 Administrative justice**

Section 33(1) of the Constitution of 1996 calls on public officials to act towards others in a lawful, reasonable and procedural fair way. All administrative actions must be constitutionally sound or otherwise lawful. Brynard (2014:376) explains that administrative justice constitutes key principles of fairness that direct government institutions of how to function orderly. The components of administrative justice include certain preconditions, for instance, all administrative actions must be duly authorised by law, subjected to a standard of reasonableness and be procedurally fair to the individual and the public. The right to request reasons and the duty to react on the request by providing reasons, is also a significant component of administrative justice. For administrative actions to be lawful, the requirements for an authority to act must

be duly authorised by law. Requirements relating to the delegation of authority and the authority to exercise discretion, also need to be authorised by law (Brynard 2014:376 & 377).

How does administrative justice relate to methods and procedures as administrative function? The answer is found within the concept of *reasonableness*. To ensure reasonableness, public officials should apply the laws justly (Thornhill 2012:111). In simple terms, reasonableness encompasses the fairness of the entire development and revision process, the organisation and legal structures as well as the context applied during the determining and revision of the standard operating procedures. It also covers the effects or consequences of the standard operating procedures.

It is clear that all administrative decisions and actions, including the determining, revision and implementation of standard operating procedures should take place within the parameters set by a range of requirements stipulated by law, specifically the provisions and values of the Constitution of 1996, and the Promotion of Administrative Justice Act 3 of 2000 (PAJA), as well as the constitutional principle of legality (Brynard 2013:80-90). Other requirements include that delegated legislation must be in writing, be reviewed regularly and may not exceed the authority assigned in the legislation that covers the delegated legislation (Thornhill 2012:279).

In modern times, reasonableness is not only guaranteed by upholding legal principles and court judgements, but also by positive and motivated attitudes of public officials when serving the public (Thornhill 2012:110 & 111). To assist public officials not to offend citizens or to harm any interests of the public, but rather to consider them as first priority, government introduced the notion of *Batho Pele* in 1997. This notion was expanded in the White Paper on Transforming the Public Service, also known as the *Batho Pele* White Paper (Department of Public Service and Administration 1997:Online). A service delivery approach towards methods and procedures and a *Batho Pele* perspective on standardised procedures are described briefly in the following section.

#### **2.2.4 Service delivery perspective**

Public service delivery is concerned with the delivery of public goods and services to enable communities and society to improve their standard of living and to build sustainable livelihoods. In laymen terms, public service delivery is about satisfying the needs of all citizens. To reach this goal and to improve the lives of the people, a public administration that is sound, people-focused and committed to the implementation of its responsibilities, is required.

The dilemma with a service delivery approach toward studying methods and procedures is that previously fixed time frames within which public institutions traditionally operate, is no longer valid for the pace at which public services and goods are currently required. Due to the strict time frames and fixed deadlines, traditional approaches, such as the closed school of thought is no longer effective and suitable. The development of methods and procedures by modern governments requires open school of thought thinking in which co-operation with the public is sought and public–private partnerships advocated.

Strengthening the hands of government in developing effective, efficient and responsive standard operating procedures, clearly defined the required service delivery standards for all the spheres of government. In South Africa, a service delivery charter was adopted in 2013 by the Public Service Co-ordinating Bargaining Council (PSCBC) as a commitment to uphold the values and principles of public administration enshrined in Section 195 of the Constitution of 1996. The objectives of the service delivery charter is to, *inter alia*, improve service delivery programmes; encourage excellence in the public service; define service standards in various sectors; and assist government departments to treat citizens with dignity and fairly (Public Service Co-ordinating Bargaining Council 2013:2). These objectives should be kept in mind when determining and revising methods and procedures for customer relationship management in the public sector.

The *Batho Pele* principles cannot be ignored when addressing the service delivery approach towards methods and procedures. The *Batho Pele* policy remains the South African government's single most important campaign to achieve transformation and to place the citizen at the centre of service delivery. The eight *Batho Pele* principles include: consultation, setting service standards, increase access, ensuring courtesy, providing information, openness and transparency, redress and value for money (Department of Public Service and Administration 1997:8 & 9). These principles are now assessed in relation to methods and procedures.

#### **2.2.4.1 *Batho Pele* perspective**

*Batho Pele* is an initiative to get public servants to be service orientated, to strive for excellence in service delivery and to commit to continuous service delivery improvement. Without any fear of contradiction, these goals also need to be reflected of how standard operating procedures are practiced by public officials. Consulting the public during the development of standard operating procedures is about providing them with options to raise their needs. Feedback and input from the public must be sought when drafting standard operating procedures as ordinary citizens are typically affected by it. By providing information to the public to seek feedback, service

standards are availed to those entitled to the service. As a result, being aware of the significant needs of the public, enables the realistic establishment of methods and procedures.

Standardised procedures must continually be reviewed to ensure that the needs of the public are addressed effectively. Included of this process is the translation of procedures applicable to the public, to other official languages. These procedures must be posted where the public accesses services. Public officials must specifically be courteous when dealing with the previously disadvantaged sectors and people with special needs. Availing information is about reaching the public to ensure that they are well-informed of internal methods and procedures followed by government departments and organisations. The *Batho Pele* principle requires accountability including openness and transparency of every procedure that public officials follow during the execution of their official responsibilities.

Redress enables members of the public to inform the authorities when they are unhappy about services. Service delivery procedures must, therefore, include provisions that inform the public of how and where to complain. To prevent frustration and complaints from the public, ways of improving services at limited or no cost, must be sought. For modern public organisations, this includes forming partnerships with private service providers and communities to ensure value for money.

This section provided different perspectives of methods and procedures. The historical perspective illustrated how historical developments influenced general trends in determining and implementing methods and procedures. The historical perspective was also used to provide a brief overview of the development of Public Administration as discipline. An institutional perspective of methods and procedures was then provided, followed by the legal and service delivery perspectives. The strongest arguments in this section include:

- fixed procedures made way for innovative and flexible procedures throughout the historical development of methods and procedures;
- a framework for public participation during the determining of methods and procedures has to be found;
- the closed school of thought limits public participation;
- the open school of thought rejects isolated procedure-making;
- a legal perspective of methods and procedures argues that standard operating procedures are law in action and have the force of delegated legislation;

- the development of procedures by modern governments requires open school of thought thinking in which co-operation with the public is sought; and
- the eight *Batho Pele* principles, i.e. consultation, setting service standards, increase access, ensuring courtesy, providing information, openness and transparency, redress and value for money, must be reflected in the way that standard operating procedures are practiced by public officials.

In addition to the perspective, theories are also utilised as universally accepted frameworks to explain phenomena (Thornhill & Van Dijk 2010:96; Holtzhausen 2014:255). Significant theories to this study include the theory of scientific management; bureaucracy; systems theory; and public choice theory. These influential theories will be described in the following section.

## **2.3 THEORETICAL FOUNDATIONS OF METHODS AND PROCEDURES**

As seen in the historical perspective, the study of public administration went through different stages. Public Administration as a discipline acknowledges various theories that contributed significantly towards its development. Some of these theories directly influenced the determining and revision of methods and procedures and the development of standard operating procedures. These theories are grouped under the organisation theory that is utilised primarily to explain how people and groups behave within organisational structures (Holtzhausen 2014:255 & 256). The scientific management theory and the bureaucracy theory from the classical theories (the closed school of thought), as well as the systems theory and public choice theory from the contemporary theories (the open school of thought), provide suitable solutions to the question: 'When did the concept of standard operating procedures emerge?' The theory of scientific management is analysed below.

### **2.3.1 Theory of scientific management**

The idea of standard operating procedures was initially developed in the manufacturing industry when Frederick Taylor studied the deliberate slow paced work of the employees who believed that high efficiency will result in job losses (Taylor 1911:31). Taylor's analysis included the utilisation of scientific methods and standardising tools, such as procedures, formal structures and rules to eventually re-design work tasks to reach maximum productivity. Through the eyes of the worker's foremen, Taylor studied the relationship between the managers and the workers, as well as the workplace processes to establish methods and procedures to improve



effectiveness. He published his research as the *Principles of Scientific Management* in 1911 (Morgan, et al. 2013:179).

The concept of *standard operating procedures* can be linked directly to Taylor's note that each workman in most instances receives complete written instructions, describe in detail the task which he is to accomplish, as well as the means to undertake the task (Taylor 1911:52). Taylor believed that a scientific analysis would lead to the discovery of the best approach to doing things. This could minimise unnecessary activities and help to save cost and time. Taylor perceived a worker as an extension of a machine, and openly declared that just as there is a best machine for each job, there is a better method of working to undertake their jobs. He ultimately proclaimed that standardised procedures enable workers to perform routine tasks efficiently (Taylor 1911:21; Nkuna & Sebola 2012:72). Taylor believed that if standards were established and job processes and procedures controlled by management, individual workers would strive to outperform the group average. In this way, efficiency at the workplace would be maximised through standardised procedures. Furthermore, Taylor accentuated rationality in work procedures. He stressed that procedures should focus on the organisation's objectives (LeMay 2006:116 & 117).

Taylor's scientific management principles can be summarised as follows (Taylor 1911:36-37):

- Replace rule-of-thumb work processes with standardised procedures that are built on the organisation's objectives.
- Scientifically select, train and develop each employee.
- Provide detailed instructions and supervision to each worker to ensure that tasks are completed according to approved standardised procedures.
- Divide work between managers and workers, so that the managers invest time in planning the work.

Despite the fact that Frederick Taylor's mechanistic approach remains the basis of the theoretical framework for standard operating procedures, his principles of management limited flexibility because it underscored tight control of work processes. Unfortunately, no provision is made to understanding human behaviour. He limited the duty of determining and enforcing standardised procedures only to management and excluded input from the procedure end-users. According to Nkuna and Sebola (2012:72), Taylor eventually restricted scientific management to simply being the result of an observance of bureaucratic rules and procedures.

Today, the development and implementation of standard operating procedures have changed fundamentally. Modern development and refinement of standard operating procedures, in contrast to Taylor's principles of scientific management, call for the active involvement of the procedure end-users. Input from the external environment is also sought (Nzewi 2015:8-10). However, despite the shortcoming of Taylor's contribution, his lasting input is embodied in placing the spot light on unofficial guidelines and directive documents in the workplace. Morgan, *et al.* (2013:179) argue that Taylor's contribution to improving efficiency via standard operating procedures, contributed towards the rise of the systems analysis from which modern managerial techniques emerged. The theory of scientific management was eventually challenged by the systems theory in which organisations are perceived as open systems (Nkuna & Sebola 2012:75). The systems theory is described below section 2.3.3 (*Systems theory*).

Max Weber (1922:24-6 & 215-217; 1947:326) successfully developed a rational bureaucratic image by combining objectivity and an understanding of human behaviour. The theory of bureaucracy also provides a rich source of insight into determining of standard operating procedures.

### **2.3.2 Theory of bureaucracy**

The basis of the theory of bureaucracy is primarily derived from Max Weber's explanation of the characteristics of bureaucracy that was first published in 1922. For Weber (1922:24-6 & 215-217), an organisation is embodied in a well-defined hierarchical structure that arranges relationships in which management and workers are accountable for their actions and behaviour. The way in which the official obligations are executed, depends on the position of the task and the employee within the hierarchical structure of the organisation decisions. Weber (1922:241-246) believed that bureaucratic organisations have clearly defined spheres of competence. Within the hierarchy, workers in the lower structural level are subjected to the supervision and authority of management on the higher levels. The hierarchical structure ensures that functions are performed systematically. A clear chain of command facilitates control and order throughout the organisation.

Weber believed that the foundation of a stable system of authority is found within legitimacy. Weber believed that despite the fact that rules, regulations and procedures determine the actions and behaviour of management and the workers within an organisation; the relationship between management and workers is dependent upon legitimacy. He acknowledges three types of legitimate authority, namely: rational-legal authority, traditional authority and charismatic authority. Rational-legal authority is

derived from the legality of certain patterns and processes, while traditional authority is based on the importance of enduring traditions and status. Charismatic authority is founded on an emotional attachment to a specific individual or authority ordained by one's character (Esau 2006:48 & 49). Relevant to this study, is Weber's concept of *rational-legal authority* that, in modern times, provides the basis for the right of legal authority to issue commands, such as standard operating procedures, that should be obeyed (Weber 1947:326).

Other characteristics of bureaucratic organisations defined by Weber (1947:326 & 327), but not pursued in this study, is the principle of free selection with regard to contractual relationships, the appointment of employees on the basis of technical qualifications, remuneration on the basis of fixed salaries, the utilisation of strict discipline as well as promotion based on seniority and achievement.

Vital aspects of standard operating procedures, such as the widespread range of directives, clear instructions, uniform actions and step by step guidelines, are found in a set of dimensions formulated by Hall (1963:33). Hall was the first to summarise Weber's concept of *rational-legal legitimate authority* as a set of dimensions applicable to the closed school of thought. He distinguished the following dimensions:

- Hierarchy of authority.
- Procedures dealing with work situations.
- Rules covering the rights and duties of workers.
- Division of labour based on specialisation.
- The impersonality of interpersonal relations.
- Promotion and selection of employment based on technical competence.

Hall's work reflects Weber's established hierarchical structure and vertical coordination as a means to promote organisational efficiency. These traditional thoughts are today perceived as incomplete because it neglects the role of the external environment and input from external role-players (Hall 1963:33).

The primary shortcoming in Weber's theory is that organisations were regarded as closed systems. Present-day governments believe that the hierarchical structures and top-down approaches no longer address problem situations within public organisations. Public administration currently accentuates public participation in policy formulation and implementation (Thornhill & Van Dijk 2010:103). Later theories, such as the systems theory, clearly illustrate that organisations are open systems (Basu

2004:69-71). The following section describes how the systems theory sheds new light on methods and procedures.

### **2.3.3 Systems theory**

The origin of the systems theory can be traced to the thinking of the biologist, Von Bertalanffy in the 1920s. The theory of bureaucracy perceives organisations as formal and static, while the systems theory perceives organisations as dynamic, flexible and able to adapt to the needs and challenges of its internal and external environments. The systems theory rejects the politics/administration dichotomy, and does not see a significant difference between policy-making and administrative decisions. The systems theory proposes responses to most of the challenges relating to the influence of the rigid politics/administration dichotomy during the early years of development of Public Administration (Von Bertalanffy 1972:410; Basu 2004:70). Von Bertalanffy (1972:417) defined a system as a collection of interdependent and interrelated parts and processes which receives inputs, acts upon them in an organised or planned manner while considering input and feedback from its environments, and in doing so, produces certain outputs. The systems theory accentuates an interactive and interrelated set of elements, i.e. the internal and external environments, inputs, processes, outputs and feedback. Interdependent parts imply that the subsystems of a system is dependent on each other, and a change in one element influences the other parts and ultimately affects the entire system. Furthermore, a system has identifiable boundaries that distinguish it from its surrounding environment in which it is embedded, and with which it interacts. In this context, the internal environment refers to the circumstances in which public administration is executed within public organisations, whereas the external environment is one that can influence the internal environment from outside an organisation.

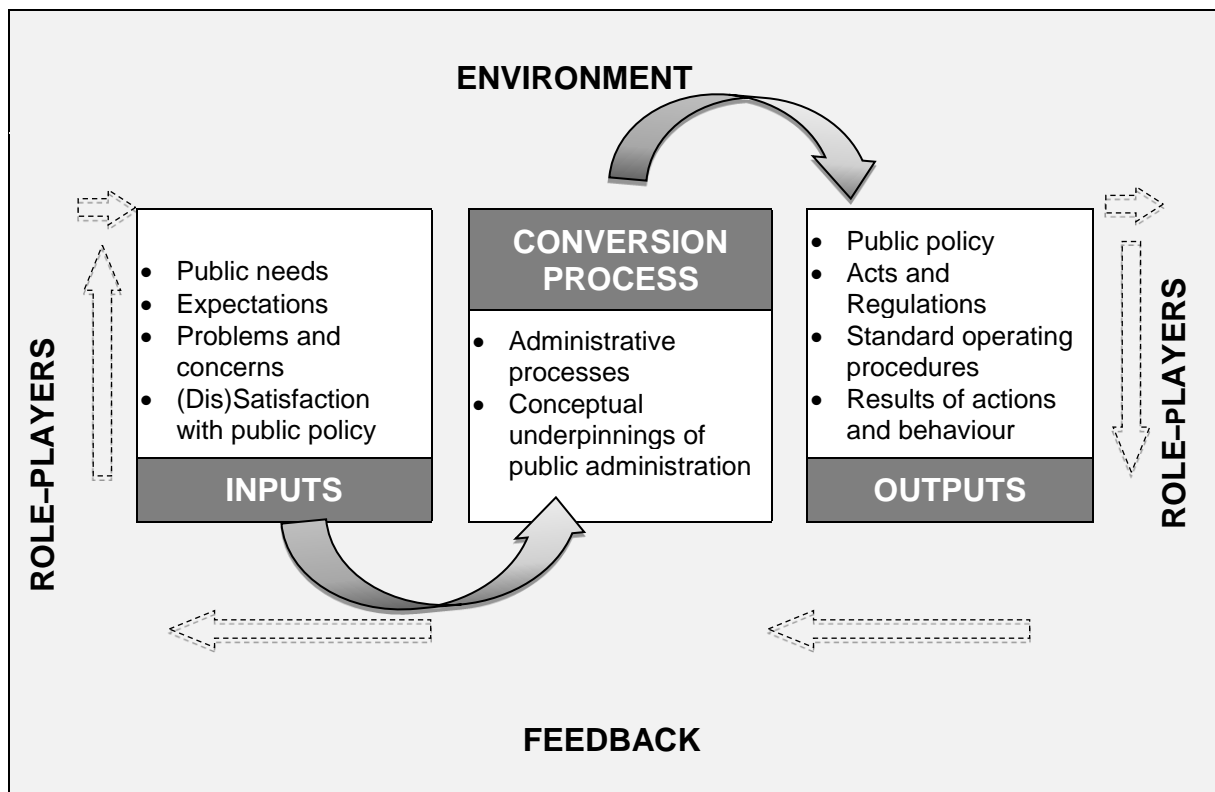
A system thus comprises of subsystems that all work together to form the whole of the system. A subsystem does not act in isolation, but subsystems increase efficiency, productivity and innovation through cooperation with the other elements of the system. The systems theory is particularly relevant to the study of complex public organisations that have elaborate structures and are embedded in larger social, political and economic environments. David Easton adapted the systems theory to political science in 1953 when he acknowledged the existence of inputs, outputs and feedback in the political environment (Easton 1953:4,5 & 91).

Inputs into any public system comprise demands as well as support. Demands are the claims for action that individuals and groups make to satisfy their interests and needs, while support is rendered when groups and individuals obey rules and accept the

decisions upheld by the system (Holtzhausen 2014:257 & 258). Outputs of the system include laws, rules, standardised procedures and judicial decisions; in other words, public policy that purportedly obeys the public interest. Feedback implies that public policies, or any outputs (including standard operating procedures), may change the environment, the demands as well as the character of the system itself. The flow of information from the environment into the system is equally important to the flow of information among the subsystems of the system. As part of an ongoing process, policy outputs result in new demands, which lead to further outputs. Hence, provision for growth and development is built into the system. The flow and transfer of information within the system is essential for continued existence of the system. The continuous movement of information, material and energy into, through and out of the system bring about the basic elements of the system namely the inputs, conversion process and outputs. The systems approach also underscores change as a key value. The effect of change as a key value on standard operating procedures accentuates that standard operating procedures have to be continuously subjected to input and feedback from a wide range of role-players to be effective, efficient and economical. Continuous improvement should thus be sought to prevent stagnation (Von Bertalanffy 1972:417).

As in the case with the elements in a system, methods and procedures also comprise of interrelated and interdependent components connected to the internal and external environments through regular input, feedback and revision. Instead of reducing the function of standard operating procedures to hierarchical structures and rigid processes, its nature might be perceived as a kind of system. In this sense, a system is the pattern that arises from the regular interactions of interdependent elements, such as the relevant role-players, public needs and legislation. These relations and interactions involve a flow and transfer of information when methods and procedures are drafted and implemented. Information from the environments helps the system to adjust the procedures and take corrective actions to rectify deviations from its prescribed pattern. This flow of information leads to the self-production and self-maintenance of the system, i.e. the standard operating procedures.

In this study, the systems theory will be applied to DLTCs that are complex organisations due to, *inter alia*, the range of activities, intricate structures and demanding needs of the public. The following Figure 2.1 is a simplified illustration of the systems theory. Refer to paragraph 2.6 (*General guidelines for development of standard operating procedures*) for an illustration of the application of the systems theory when drafting standard operating procedures.



**Figure 2.1: Simplified schematically illustration of the systems theory**

**Sources:** Adapted from Von Bertalanffy (1972:410 & 417) and Du Toit (2011:33).

The systems theory provided a firm foundation for the development of standard operating procedures because it allows input, output, feedback and evaluation from various role-players. Refer to Chapter 4, section 4.9 (*Strategies to design a framework for development of standard operating procedures*) for an explanation of how the critical phases and fundamental elements of the systems theory were utilised to develop standard operating procedures. However, as stated before, rigid procedures lost its place in public administration. It is, therefore, necessary to secure a solid framework to determine methods and procedures in contemporary governments that is based on public choices and public participation. The public choice theory provides a useful approach in this regard and is addressed briefly. The public choice theory is demanding and only aspects relevant to this study was selected for discussion.

### **2.3.4 Public choice theory**

The public choice theory was developed as a reaction to large governments and high taxation; and consequently called for less government and lower taxes. To a certain extent, the public choice theory propagated that citizens should not be dependent on government for services and products, but take care of their own economic needs. In

terms of public administration, the public choice theory attempts to maximise administrative responsiveness to citizen demands through competitive market systems and privatisation. The public choice theory advocates, among others, that, when possible, government services should be turned over to the private sector. This should be accomplished by contracting out for services or through privatisation. In this way, private-sector competition is stimulated and the influence of bureaucrats is minimised. The public choice theory questions whether decisions made in a traditional way really represent the needs and interests of the public. As alternative, the public choice theory proposes that the majority of actions take place at the lowest levels of government – the local government (Ostrom & Ostrom 1971:203-212).

But how does the public choice theory relate to methods and procedures? To successfully relate the public choice theory to methods and procedures, interactive collaboration needs to be recognised as a key concept during the development and revision phases. The determining and revision of standardised procedures is a multifaceted process in which a variety of public role-players, including politicians and public administrators, interact through formalised negotiation processes. The public choice theory propagated that public and private role-players should not be excluded from this process. In simple terms, applying the public choice theory to methods and procedures means more choices for the public during the development as review phases.

This afore section briefly considered the theoretical foundation of methods and procedures by illustrating the suitability of the theory of scientific management, theory of bureaucracy, systems theory as well as the public choice theory, as a framework for the determining and revision of standard operating procedures. Although the origin of standard operating procedures was traced back to the theory of scientific management, the systems theory was found most suitable for the purpose of this study. The significance of identifying theories applicable to a study is re-affirmed in Chapter 4, section 4.9 (*Strategies to design a framework for development of standard operating procedures*). The application of the systems theory in developing standard operating procedures, is elaborated. With the theoretical foundation set, the nature and significance of methods and procedures will now be described.

## **2.4 NATURE AND SIGNIFICANCE OF METHODS AND PROCEDURES**

A complete framework for the determining and revision of methods and procedures can only be formulated when a variety of aspects about methods and procedures, such as its nature and scope, significance as well as the advantages and disadvantages of methods and procedures is fully understood. For this reason, this

section presents an analysis of methods and procedures in terms of its nature and significance and common advantages and disadvantages. Circumstances that necessitate methods and procedures as well as common barriers that prevent successful implementation of procedures in public institutions is also described. The benefits of standard operating procedures and ways of how to draft standard operating procedures also forms part of the theoretical framework and is discussed in the subsequent section. It is significant to understand the nature of methods and procedures because it forms the basic elements of this study.

#### **2.4.1 The nature of methods and procedures**

Methods and procedures manifest in a process as a series of steps conducted in a specific manner; primarily in established and routine actions and behaviour. In public institutions, these series of actions occasionally constitute a point of contact between public officials, as representatives of government, and the public as the citizens of the state. This point of contact with the public directly or indirectly gives meaning to what Acts and Regulations imply to ordinary citizens by way of the everyday work and the established manner in which tasks are executed (Knott & Miller 2008:405). A certain image of government is created of how ordinary citizens are treated during face-to-face interventions with public officials. Compliance with legislative frameworks should form the backbone during these interventions so that a precise image of government is portrayed (Nzewi 2013:4). This implies that certain activities are pre-planned and instructions on how public officials should perform their duties should be established. The instructions generally comprise step-by-step guidelines of what needs to be accomplished, while considering individual behaviour within certain working environments. Furthermore, responsibilities need to be identified and information about how and when tasks need to be completed should be stated. As already confirmed, standard types of instructions can be traced back to Fredrick Taylor's scientific management principles. However, it is now clearer that methods and procedures should be subordinate to legislation, but with the force of delegated legislation.

To respond to the question 'What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration' it is necessary to understand what public managers and officials really do when they are working. Public official's daily employ includes, among others, practical decision-making, planning, diverse day-to-day routine and non-routine administration and other management functions, such as leading and controlling. Public officials function within a legal-moral environment and apply general as well as expert knowledge in familiar, and from time to time, unfamiliar situations while being



sensitive to the needs of society (Nzewi 2017:2-4). The tasks performed by public officials are interrelated and interdependent as one task or function, or a step within a task, cannot be effective without the other (Knott & Miller 2008:405-407).

As noted, government functions and processes are mutually inclusive. Methods and procedures are part of and included in the everyday work and activities, and are central in all routine and non-routine activities in the three spheres of government. To fully understand the significance of methods and procedures in public administration, a sound comprehension of the different types of procedures is necessary. Three types of procedures are explained below.

#### **2.4.2 Different types of procedures**

Three types of procedures can be differentiated. The first type of procedure is legislative authorised by statute and applied by standard operating procedures with the full force and effect of the law. Sections 53 to 68 of the National Health Act 61 of 2003 controls the utilisation of blood and blood products and other related matters, is an example of legislative procedures. Legislative procedures are technically highly specialised procedures and are enacted by Parliament after seeking expert advice on the matter (Ponte, Gibbon & Vestergaard 2011:1-25). Scott (2010:107) defines this type of procedure as regulatory but differentiates between product and process standards. For Scott, product standards refer to specific product properties and the way in which a product is manufactured, while process standards are concerned with minimum requirements set during manufacturing processes. Scott (2010:107) strengthened his contribution to the different types of procedures by explaining that regulatory standards are usually developed by technical standardisation bodies, such as the International Organisation for Standards (ISO). Standard operating procedures formulated according to ISO is not the primary focus of this study. The second type of procedure is interpretative. Interpretative procedures guide the public and public officials of how to interpret legislation. Examples of interpretative procedures include decisions made by judges in a court of law, including judgments and court rulings.

The third type of procedure refers to a broader understanding of the concept of *standards* and includes standardised procedures that govern government departments' internal practices (Ponte, *et al.* 2011: 1-25). Budgetary instructions and guidelines issued by financial sections of government departments are examples of standardised procedures enforced as delegated legislation. Despite the ideal of suggesting standard operating procedures as legislative procedures, this study produced templates for the above-mentioned third type of procedure. Although the different types of procedures have been identified, clarity of the significance of

methods and procedures in public administration is required to provide a complete understanding of the nature and scope of methods and procedures. The following section describes the significance of methods and procedures in greater detail.

### **2.4.3 Importance of methods and procedures in public administration**

From the description of the nature of methods and procedures, it became clear that methods and procedures form an integral part of all the activities of public managers and officials with the aim to ensure compliance with legislation through coordinated actions. Methods and procedures are reflected in directive documents, such as policies, standard operating procedure manuals and codes of conduct. These directive documents serve as guidelines of how officials should act when addressing the needs of society. Non-compliance with official directives does not necessarily imply disobeying the law. However, it implies misconduct which might result in disciplinary investigations, suspension or dismissal (Evans & Dean 2003:148).

Despite the above description of the nature of methods and procedures as well as the identification of directive documents, the significance thereof is clearer from a legal perspective. Legislators play a crucial role in formulating policy. As mentioned before, Parliament and provincial legislators cannot attend to all the legislative requirements required to implement policy effectively at all spheres of government. To surpass harsh time constraints, the drafting of methods and procedures is delegated to responsible authorities at operational level. Methods and procedures then serve as a necessary bridge between the political decision-making system, for example, municipal departmental heads and the officials who implement public policy on operational level. Therefore, methods and procedures guide the actions and behaviour of groups of officials when interpreting and executing public policy (Reddy & Govender 2014:159 & 160). Without standardised procedures, effective and efficient service delivery would be lacking as the actions of public officials will not be coordinated towards reaching the goals of government.

The research question 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' is further elaborated on in Chapter 6, sections 6.4.1 (*Use and significance of standard operating procedures*) and section 6.5.2 (*Significance of standard operating procedures*) with specific reference to the MM DLTC. Nonetheless, it is also important to highlight the advantages and disadvantages of methods and procedures in the section that follows.

#### **2.4.4 Advantages and disadvantages of methods and procedures**

Effective and efficient methods and procedures do not exist as stand-alone processes, but rely heavily on the interdependent involvement of other processes, functions, role-players as well as frequent feedback from within and outside the organisation. Methods and procedures are bound by interrelated actions that all role-players, processes, functions and documentation be consulted effectively, contribute to an endless list of advantages. The next subsections reiterate the significance of methods and procedures by accentuating the advantages and disadvantages thereof.

##### **Advantages of methods and procedures**

Methods and procedures ensure consistency in the actions and behaviour of public officials in the accomplishment of a task. Streamlined methods and procedures in the form of standard operating procedures result in the better utilisation of resources, improved work flow, increased productivity, and a decrease in the costs of services and products. It also ensures co-ordinated behaviour in matters involving more than one division or department as well as uniform behaviour between officials involved in a certain function. It ensures that all the officials work together as a team to achieve an objective; regardless of whether they are aware of what their colleagues are doing (Alvarez & Hall 2008:830).

Methods and procedures are advantageous for institutions from both the open and closed schools of thought (Evans & Dean 2003:148; Ijeoma & Nzewi 2016:62). The advantages are listed below. Methods and procedures:

- allow decision-making at the appropriate levels within an organisation, as a result, it streamlines the administrative processes;
- communicate information to employees so that they understand what, when and how to perform their official duties;
- promote standardisation as it structures the way in which officials perform duties;
- serve as indicators whether the needs of society have been met or not;
- are used as performance measuring tools;
- inform the need to change; and
- serve as control mechanism.

Methods and procedures therefore, ensure consistency, effectiveness and efficiency in the accomplishment of tasks. Written methods and procedures ensure that public officials are suitably informed as documented directive documents often serve as training material (Nzewi 2013:15-16).

A logical question that arises after identifying the advantages of methods and procedures is: 'What are the disadvantages of methods and procedures?' Common disadvantages receive attention in the following subsection.

### **Disadvantages of methods and procedures**

Basu (2004:46) states that inflexible, rule-bound and hierarchic public administration has outlived its usefulness and appropriateness for the modern age that is characterised by rapid change in technology and complex societal demands. Despite the intention that methods and procedures should guide public officials of how to perform their work constructively, procedures may have a negative influence on public administration for various reasons (Knott & Miller 2008:405). Methods and procedures are specific and applicable to envisioned circumstances or working areas, and only relevant to those intended circumstances and areas. If any circumstances within that area of work changes to such an extent that the existing procedures no longer produce desired results, these procedures become ineffective (Scott 2010:108 & 109). Another disadvantage is that ambiguous methods and procedures may occur when the scope of the methods and procedures fall outside the intended application circumstances. Ambiguity leads to a lack of transparency and accountability, and makes enforcement and compliance costly (Scott 2010:112).

However, the primary disadvantage of methods and procedures is that standardised procedures do not allow opportunities for extensive deviation because it prevents the use of individual judgment (Nzewi 2013:15; Tosi 2009:134). Nzewi (2015:12) caution that the use of standard operating procedures results in a decrease in autonomy, which may reduce the sense of responsibility and originality. The unfortunate consequence is that the objectives of the organisation may be compromised unintentionally (Johnston 1993:65). Another disadvantage of methods and procedures is that it is time consuming to perform a series of steps according to prescribed rules because the individual steps cannot be pursued simultaneously. An extended process is followed when the different steps are diligently applied to eventually complete a task. Feeney (2012:429) also cautions that an established way of doing something may inhibit innovation and progress.

The circumstances that necessitate the existence and revision of methods and procedures can now be identified.

#### **2.4.5 Circumstances that necessitate methods and procedures**

Improving the productivity and achievements of governmental departments depends, *inter alia*, on effective and efficient methods and procedures (Clark 2015). In return, the effective development of methods and procedures demands continuous effort to improve ways to satisfy the needs of the public. Failure to do so will result in stagnation and in-effective service delivery (De Treville, *et al.* 2005:232-234). Although public managers are accountable for the continuous determining and revision of methods and procedures, each official should accept responsibility for such a process. When developing new methods and procedures or revising existing procedures, public managers need to identify the officials who are directly affected by the procedures. Nzewi (2015:26 & 27) note that the views and opinions of those officials should be considered when revising standardised procedures. Continuous improvement of methods and procedures necessitates the opinion and input from employees throughout the revision processes. In this way, the officials involved in the revision phase will accept ownership of the methods and procedures. Their buy-in will be secured and resistance to the implementation of the procedures will be minimised.

The desires and needs of society must be measured consistently against needs raised through various channels, such as protest action or extraordinary circumstances, for example, natural disasters in the form of drought, floods or earthquakes. Should government fail to adjust its policy to changed circumstances, methods and procedures will be adversely affected. However, should policy or legislation be amended, the related methods and procedures must also be revised. Amendments to methods and procedures may also be the result of investigations into organisational and procedural matters launched from outside a certain department or initiated via internal measures. Furthermore, circumstances, such as an increase in scientific and academic knowledge, expansion of government departments and improvements in information communication technology, also necessitate the revision of methods and procedures (Louw 2013:11 & 12). These and other circumstances are now described below in more detail.

#### **Legislation and policy directives**

One of the goals of government is to serve society according to its needs, desires and demands, on condition that these needs are feasible and constitutionally justifiable. Policy and legislation serve as a vehicle for government to address the needs of society. Methods and procedures as a result of policy-making are influenced and

stimulated by changes in legislation. As mentioned earlier, as soon as policy changes have been effected, there will necessarily be changes to methods and procedures (Brynard 2012:74).

### **Scientific and academic knowledge**

A larger body of scientific and academic knowledge is available at government departments as a result of an increase in the number of students studying at tertiary institutions. Furthermore, public managers acquired additional knowledge and experience from specialised management courses; resulting in methods and procedures being revised frequently (Thornhill 2012:257 & 258).

### **Expansion of government departments**

An increase in the number and sizes of government departments may lead to labour division, but also in the overlapping and duplication of functions and processes. The overlapping of activities adversely affects the general welfare of society in light of increased demands amidst scarce resources. The feasibility and effects of the duplication of support functions and processes in different departments should be explored and limited where necessary. Included in this effort should be the update and improvement of procedures via an integrated approach (Thornhill 2012:259 & 260).

### **Need for more flexibility**

Legislation cannot always provide for all eventualities and local conditions. Methods and procedures provide for flexibility when provision is made for alternative steps to be followed within set procedures. Effective procedures are not stagnant; customisation and changes to stay on track with changing demands are thus essential to uphold the required innovative nature of modern standard operating procedures. When updating, correcting or amending new or previously used procedures, a thorough approval and acceptance process should be followed. Contentedly, standard operating procedures in the format of delegated legislation can be passed and amended promptly (Brynard 2012:75 & 76).

### **Information technology**

Technological development result in society's needs to change continually. To meet society's expectations, public managers are obliged to remain at the forefront of technology development. In this way government will be able to understand the way in which societal needs are affected by new technologies. Although computers and the internet have overwhelmed the workplace, this has not eliminated the use of

methods and procedures in government departments. On the contrary, standardised procedures are utilised increasingly as user specifications with the development of new computer software programs (Thornhill 2012:132 & 257).

### **Emergency, disaster and contingency measures and management**

Despite the fact that emergencies, disasters and contingencies require governments to act swiftly, timeously and effectively, legislators may not have clear knowledge of how to manage emergency situations. For this reason, they delegate legislative powers to the relevant authorities to manage disasters and contingencies. Standardised procedures are, therefore, developed by authorised entities to defuse emergencies. Developing methods and procedures for emergencies, disasters and contingencies is an on-going dynamic process in which standardised procedures must be reviewed, modified, updated and tested on a regular basis. Existing procedures are used to plan for readiness and to coordinate responses during disasters. In cases of emergency, methods and procedures act as risk reduction tools that minimise the potential impact of hazards before it strikes (Louw 2013:11 & 12).

The above well-known circumstances do not exhaust the list of conditions that requires the determining and revision of methods and procedures, but serve as an illustration of the endless reasons and the need to revise methods and procedures regularly. The possible barriers towards the successful implementation of methods and procedures will now be discussed. Only relevant barriers to this study is highlighted in the next subsection.

#### **2.4.6 Challenges towards implementation of methods and procedures**

In an attempt to ensure cooperation during the development and revision of methods and procedures, it is necessary to identify and surpass obstacles towards the effective implementation thereof. The most identifiable challenges towards successful implementation of methods and procedures will be highlighted in this section.

Public officials may experience the implementation of new or amended methods and procedures as threatening. It is a generally accepted habit that individuals tend to stagnate and become set in well-known and established ways. This human phenomenon often results in public officials not initiating change and unwilling to adapt to the changing environment. Complicating this issue is resistance to change in the form of over-simplification of procedures that may result in deviations from legislation and policy goals. Another barrier includes futile policy decisions. Since legislation and policy decisions serve as a framework when developing methods and procedures,

impractical decisions could be the result of ineffective policy decisions by senior officials, management or politicians.

According to Thornhill (2012:260-262), other barriers to successful implementation of methods and procedures in contemporary South African government departments can be summarised as follows:

- Difficulties in understanding and interpreting multifaceted information and the complexity of the steps towards reaching set goals.
- Fear for the unknown, and being afraid of the element of uncertainty that may result in officials sticking to tried and trusted standardised procedures.
- Deliberate attempts to obstruct transparency and accountability.
- Ignorance and misconceptions that encourage antagonism and negativity towards change.

The research question ‘What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?’ was discussed in this section. Specific challenges experienced by the MM DLTC is addressed further in Chapter 6, sections 6.4.3 and 6.5.4 (*Challenges towards implementation of standard operating procedures*).

Procedures become general knowledge within an organisation when it is stored as standard operating procedures in a written document (Nzewi 2015:11 & 12). The review of literature on the nature and scope of methods and procedures in public administration without due consideration of standard operating procedures would thus be incomplete. Hence, the following section is devoted to the description of aspects specifically related to standard operating procedures.

## **2.5 STANDARD OPERATING PROCEDURES AND PUBLIC ADMINISTRATION**

In the public sector, standard operating procedures derived from legislation and policy decisions are utilised to regulate actions and behaviour to ensure compliance with the relevant statutory framework (Thornhill 2012:105). Nowadays standard operating procedures are utilised increasingly to communicate who will perform a specific task, what materials are necessary, where the task takes place, when the task shall be performed, and how the person will execute the task (Clark 2015; Woodhouse 1997:221).

Graham Allison confirms the significance of standard operating procedures in the bureaucratic politics model that he developed as one of the three models of decision-



making during his analysis of the Cuba missile crisis in the United States of America. He argues that it would be difficult to perform complex tasks without standard operating procedures, because standardised procedures constitute routine actions and behaviour to manage multifaceted situations that occur frequently. As mentioned earlier, Allison added that standard operating procedures allow a large number of employees to manage many situations continually, without significant thought (Allison 1970:514). Successful implementation of applicable standard operating procedures results in an improved average performance over a range of activities and over a long period of time. Allison also notes that a decline of uncertainty of how to manage routine situations leads to an improvement in the average organisational performance as well as in the coordination among significant organisational role-players (Allison & Udis 1970:519).

In South Africa, standard operating procedures will find its rightful place in the (not yet implemented) Public Administration Management Act 11 of 2014 (hereafter referred to as the PAM Act). Section 16(1) of the PAM Act of 2014 provides for the determining and revision of minimum standards for the South African public service and municipalities regarding, among others, the promotion of values and principles referred to in Section 195(1) of the Constitution of 1996. Capacity development, training, information technology, ethics and discipline as well as the disclosure of financial interests are certain identified aspects which require minimum standards. Furthermore, an Office of Standards and Compliance is envisioned in Section 17(1) (PAM Act 2014). The functions of this office would, *inter alia*, be to:

- evaluate the appropriateness of norms and standards;
- promote and monitor compliance with minimum standards; and to
- develop and implement an early warning system to detect non-compliance with minimum standards.

The questions that immediately arise are ‘What is the meaning of the concept ‘standard’ in relation to methods and procedures?’ and ‘What are the benefits of standard operating procedures for government institutions?’ This section presents probable responses to these questions, and other aspects such as, bureaucracy, red tape and the possible negative influence of standard operating procedures on public administration. The section is concluded with general guidelines for drafting standard operating procedures.

### **2.5.1 The meaning of standards in relation to methods and procedures**

It is important to understand the meaning of standards to fully comprehend the nature of standard operating procedures. In broad terms, a standard is a qualitative and quantitative measure, goal, objective or rule, against which actions and behaviour are measured and compared. Whereas Acts and Regulations officially prescribe what must be done and what not, standards define limitations and set boundaries for acceptable and unacceptable actions and behaviour in pursuit of a goal (Scott 2010:104 & 105).

Standards need to be appropriate to the expectations and aims of a department, and need to be continuously analysed and discussed to allow institutional growth and development. According to Evans and Dean (2003:148), standards in the public sector should be measurable and directly linked to how the needs of society should be addressed. Once an Act has been promulgated or amendments to an Act accepted, standards need to be determined to evaluate and measure the conditions set by the Act so that it is implemented effectively. Nzewi (2017:3) confirmed that, by setting standards for internal control, the administration and management of policy implementation are facilitated so that officials know what is expected of them. Their actions and behaviour are thus measured and compared with the least possible standards.

It might seem from the above discussion that the use of standard operating procedures offer several rewards for public institutions. Are there no disadvantages of standard operating procedures, and what about red tape and the noticeable slow pace at which public officials so often perform their tasks? These aspects are now defined.

### **2.5.2 Bureaucracy, red tape and standard operating procedures**

Rules, regulations and procedures that entail a compliance burden without advancing the legitimate purpose they intend to serve, is generally defined as red tape. Consequently, an unavoidable negative connotation associated with standard operating procedures and bureaucracy is red tape or the excessive use of inflexible rules and regulations. Cumbersome standardised procedures generally seem to be developed by and exclusively for the benefit of the public officials while mostly excluding benefits to the public. Furthermore, structural arrangements in government departments is viewed as not serving the implementation of public policy effectively (Kaufmann & Tummers 2017:1311 & 1314).

It is necessary to clarify the meaning of bureaucracy to challenge tedious red tape. In this study, bureaucracy refers to the administrative machinery of government and implies the totality of all government structures/offices and officials tasks involved in the implementation of public policy. Bureaucracy comprises of the public administration of functions and processes performed by government departments. Also, bureaucracy translates complex government functions and processes into understandable structures, rules, regulations and procedures. Public administration as a process, in return administers and manages these rules, regulations and procedures. Therefore, organisations that rely on rules and procedures to achieve its objectives are behaving in a bureaucratic manner. An organisation may thus be regarded as a bureaucracy when there is consistent application of predetermined and formalised rules and procedures to ensure standardised actions within a specific context (Johnston 1993:34).

The link between bureaucracy and standard operating procedures is evident in the theory of bureaucracy that advocates that hierarchical structures determine the flow of processes in a systematic manner. The relevance of the theory of bureaucracy to standard operating procedures is found in Weber's statement that the hierarchical structure of an organisation direct the relationships and behaviour of employees according to its place within the hierarchy. Standard operating procedures are formalised and put in writing within the context of the hierarchical structure of the bureaucratic organisation (Basheka 2012:39 & 40). To combat red tape, public departments are trying to re-draft policies and procedures by considering the public's point of view (Johnston 1993:34). The public choice theory with the key focus on interactive collaboration compliments this sentiment. It is also important to acknowledge the full context in which the procedures are used to understand the difference between cumbersome standardised procedures and minimum legal requirements that have to be applied with.

Contradicting the typical view that bureaucracy and standardised procedures result in red tape that impedes the public interest, De Treville, *et al.* (2005:232) quote academics and scholars from the Operations Management discipline (Edelson & Bennett 1998; Monden 1983; Adler 1993; Suzaki 1993; Berggren 1994) who suggest that the use of standard operating procedures leads to meaningful working conditions. These Operations Management academics studied organisations that received ISO 9000 series certification, and hold that full productivity is achieved by means of an increased use of standard operating procedures. It becomes clear that despite the negativities associated with bureaucracy and rigid procedures, standard operating procedures have specific benefits; particularly in situations where routine tasks are performed by a maximum number of employees over a long period. Standard

operating procedure manuals that serve as a comprehensive framework for departmental policy are utilised commonly in these cases. As previously stated, the standard operating procedures manual refers to a document that contains accurate and detailed instructions of how to perform a task, activity or process to ensure that methods and procedures are performed the same way at different times and in the same manner by diverse persons. As a benefit to the organisation, procedure manuals provide easily accessible direction and structure for better practices. Additional benefits of standard operating procedures are described in the following subsection.

### **2.5.3 Benefits of standard operating procedures**

As in the case with methods and procedures, an important benefit of standard operating procedures lies within the comprehensive standard operating procedures manuals and other directive documents that act as sources of information for policy implementation. As a written set of instructions, standard operating procedures function as an instructional training tool and is utilised to maintain quality control (Milgram, Spector & Treger 1999:326). The effective use of standard operating procedures manuals ensures that clear instructions are provided to individual employees and avoid ambiguous and multiplicity of instructions. Consequently, fewer mistakes are made when performing routine tasks. In brief, the purpose of standard operating procedure manuals is to promote uniform and integrated actions in matters where more than one employee, division or department is involved (De Treville, *et al.* 2005:232-234; Thornhill 2015:91 & 92).

Documented standard operating procedures can be used to increase performance consistency and productivity over time, particularly in public departments with high turnover and low levels of training. The reason why standardised procedures lead to consistent performance is that it enables a standard routine that allows employees to experience more predictability in the tasks to be performed. In this way, standard operating procedures attach legitimacy to actions as it is required that all actions are executed within a clear legal mandate (Department of Public Service and Administration 2014:6 & 7). Another benefit is that the process of formalising standard operating procedures supports learning and development processes within a department and allows public officials and managers to learn over time (Clark 2015).

Although standard operating procedures decrease variability in a process, it leads to an increase in process control (Tosi 2009:134). Another benefit of standard operating procedures is that it functions as a compliance tool because it standardises procedural performance and increases consistency. Furthermore, standard operating procedures fulfil compliance requirements, communicate effective measures, decrease the

average error rate and reduces unnecessary duplication of steps to complete a task (Meier & O'Toole 2009:5-7 & 17). It also contributes towards the reduction of uncertainty about continually delivering quality results when performing repetitive tasks over a long period. Consequently, standard operating procedures ensure reproducibility (Gimble 2005:71) through standardisation and traceability (Barbosa, *et al.* 2011:132).

To reach these and other benefits and to evade the negative connotation of red tape, standard operating procedures must be designed in a systematic manner by consulting the relevant role-players and by optimising information so that the organisation's goals are met. General guidelines of how to draft standard operating procedures are addressed and illustrated in the following section.

## **2.6 GENERAL GUIDELINES FOR DEVELOPMENT OF STANDARD OPERATING PROCEDURES**

Standard operating procedures should be predictable and need to be tied to expected outcomes and results (Tosi 2009:134). To prevent mistakes during the design process, the development of standard operating procedures must be undertaken as a collaborative and co-operative process. When drafting standard operating procedures, public departments should encourage cooperation between all relevant role-players. Allowing the end-users to participate in the development of the procedures, increases a feeling of ownership and a sense of being able to make a positive contribution toward the goals of the organisation (De Treville, *et al.* 2005:236). Collaboration among the instructional designers, subject matter experts and management indeed increases efficiency and effectiveness when developing the procedures (Barbosa, *et al.* 2011:132 & 133).

The context within which the standard operating procedures will be used should be clearly understood when drafting the procedures. Therefore, relevant responsibilities, functions and procedures in all its contexts as well as the factors which affect the achievement of policy objectives must be taken into consideration when drafting standard operating procedures. Existing and new methods of performing tasks as well as the work flow, organisational structure, necessary equipment, documents, relevant legislation and the time necessary to perform specific steps to complete a tasks, should also be looked at (Scott 2010:112).

Standard operating procedures need to be embedded within the overall system of government to ensure successful implementation thereof. The right balance between official and unofficial guidelines also need to be found (Binz-Scharf, Lazer & Mergel 2012:219). The significance of developing standard operating procedures with the

end-user in mind must not be underestimated. The educational level, skills and knowledge of the end-users should always be taken into account (Milgram, *et al.* 1999:326). It must be written in a simple and understandable language, offer the procedure user alternative options where feasible, and represent a consistent and logical framework for all the actions and activities. Standard operating procedures should be clear and written in such a way that it can be interpreted by a wide audience. Overloaded and directionless standard operating procedures are difficult to interpret. For this reason, instructional designers, supervisors and managers should be cautious not to include an overwhelming amount of detail. However, a lack in critical information must be avoided. It is also important that standard operating procedures are made readily available to the relevant officials and that it do not contain information that will become outdated within a short period of time (Sinocruz, Hildebrand, Neuman & Branaghan 2011:803-806).

Having a standard format thus makes the developing and revision of standardised procedures easier. Departmental templates are usually designed to ensure a consistent format between different documents and should be used for this purpose (Ashbrook 2014:29). Refer to Chapter 5, section 5.8 (*Standard operating procedures to issue drivers licences*) for the newly developed procedures based on templates and examples of Ekurhuleni Metropolitan Municipality (2010:ix) and Tidas (2009:3).

As noted, a thorough approval process should be followed when developing standard operating procedures. Generally, the head of department will accept and approve the final procedures. However, the human resource department, financial department, supply chain section and information technology departments should also check and accept the procedures, when applicable. After approval and acceptance, standard operating procedures should be filed adequately. Standard operating procedures manuals and templates should be reviewed regularly for quality and correctness to establish the degree in which it meets planned objectives.

### **2.6.1 ADDIE instructional design model**

A simplified procedure development process to formulate the envisaged framework for the development of standard operating procedures was selected. It was revealed that the five phases in the ADDIE instructional design model include: analysis, design, development, implementation, and evaluation, represent a dynamic and flexible guideline for developing standard operating procedures. Although a very simplified model, the ADDIE instructional design offers an effective means to analyse an organisation's needs, design and develop content, implement and finally evaluate the efficacy of newly developed standard operating procedures. It was, therefore, found

suitable for procedure development in the public sector. With the ADDIE model, continual feedback from all external and internal role-players is considered and attended too. For that reason, the ADDIE model addresses concerns while still simple to find solutions. It is, therefore, important to explore each phase of the ADDIE model (Evans 2011:71-80).

The literature revealed that the following phases adopted from the ADDIE model, suit the development of standard operating procedures best:

## **Analysis**

During the initial analysis phase, the legal framework in which the procedures will be developed is determined and defined by identifying and analysing the relevant Acts and Regulations as well as the goals and vision of the organisation or institution. Job descriptions, legal contracts, the organisational culture, and the structure and hierarchy of the organisation also need to be consulted. Information in existing directive documents should also be taken into account (Ashbrook 2014:28).

Also during this phase, relevant internal and external role-players are identified and then informed that their input and feedback on specific matters will be required. Internal role-players include public managers and supervisors, procedure end-users, advisory committees and other divisions within the department. External role-players include members of the public, subject experts, interest groups, trade unions, other government departments and government departments from other countries. Also included in this phase, is the authorisation of the project and the determining of technical and resource requirements. Deadlines should also be set. In certain instances, interim procedures need to be implemented should there be no existing procedures. At the inception of a new section or department, the department may borrow procedures from a similar organisation or other public department. However, more sophisticated procedures may be required to standardise the department's activities and processes. Furthermore, possible internal control measures must be identified during the analysis phase. Most importantly, this phase is characterised by a logical and orderly method of identifying, developing and evaluating strategies of how to develop standardised procedures (Evans 2011:71-80). Attention should be given to detail.

## **Design**

The first draft of the standardised procedures should be written and documented during the second phase. Each task and step that forms part of the procedure should be specified. Elements such as quality control requirements, specific service or

product specifications, time frames, alternative steps, safety and security considerations, relevant legislation and personnel requirements must be incorporated into the procedure design. Input from the end-users is necessary since their inclusion will enable knowledge and skill retention. Despite the mentioned information, standard operating procedures should be kept succinct and limited to one or two pages per task (Roughton & Crutchfield 2008:372).

Feedback from the internal role-players who include managers and operational staff, should be sought and incorporated into the draft standardised procedures. Generally, feedback from external role-players is requested after feedback from the internal role-players has been received and considered. The draft procedures may only then be published for public participation. All relevant input must be incorporated into the procedures before the development process continues to the final development stage (Ashbrook 2014:29).

## **Development**

During the development phase, the draft procedures must be revised after feedback has been received from all the role-players. The new or updated standardised procedures should be submitted for acceptance by management. The approved procedures should then be published and made known to all staff for acknowledgement. This should be undertaken in the format of a standard operating procedures manual (Ashbrook 2014:29).

## **Implementation**

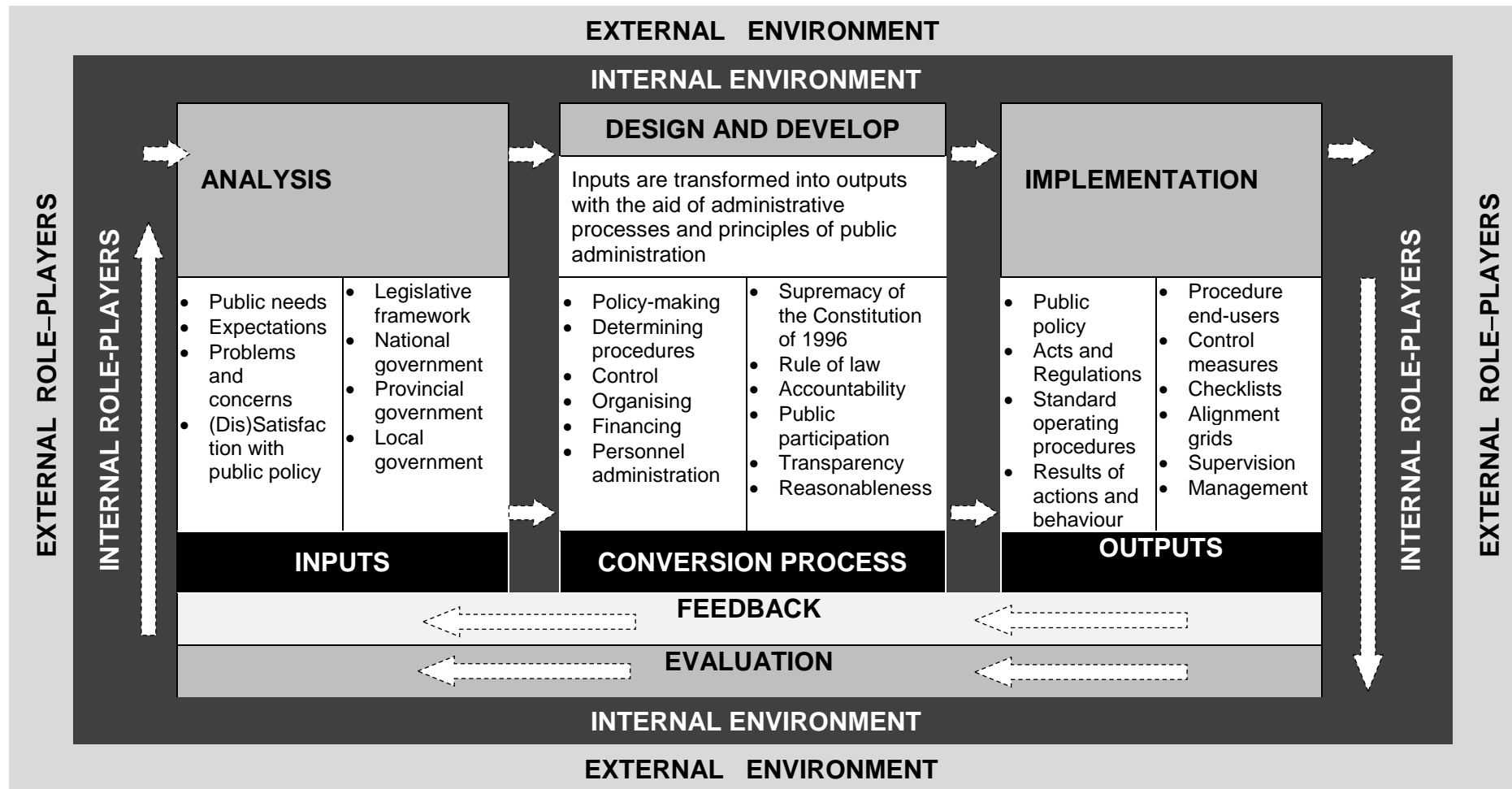
The next phase is for the procedure end-users, that is, the final approved procedures. Training on the new or updated standardised procedures must precede this phase to dismiss doubt of how to apply the procedures. A training programme should be developed in this regard (Ashbrook 2014:29). The evaluation of the procedures is an inherent aspect of the implementation stage. Internal control measures should thus be implemented. For this reason, a checklist may be provided to the end-users to verify that the steps have been executed in accordance to the prescribed standardised procedures (Gimble 2005:72).

## **Evaluation**

As mentioned before, standard operating procedures must be revised continuously (Milgram, *et al.* 1999:326). The evaluation phase comprises of the evaluation of each phase of the procedures drafting process. Feedback on the accepted procedures should also be welcomed (Ashbrook 2014:30).



Figure 2.2 below illustrates the dynamics of the systems theory in relation to the drafting of standardised procedures, as per the ADDIE model. The critical phases and fundamental elements of the systems theory and the ADDIE instructional design model was utilised later in the study to simplify the development of new and innovative procedures of issuing driver licences, as illustrated in Figure 7.1 (*Schematic illustration of the framework for the development of standard operating procedures*) of Chapter 7.



**Figure 2.2: Schematic illustration of the development of standard operating procedures**

**Sources:** Adapted from Von Bertalanffy (1972:410 & 417) and Du Toit (2011:33).

## 2.7 SUMMARY

This chapter provided a theoretical framework for the determining and revision of methods and procedures in public administration. This chapter traced the origin of standard operating procedures to Frederick Taylor's theory of scientific management. Taylor gradually introduced scientific management through the adoption of best working conditions and imposed cooperation. Acquiring the highest level of productivity is part of the fundamental values of Taylor's scientific management, and forms a significant element of this study.

The literature review was divided into five sections. It is interesting that methods and procedures are intertwined, and built into all public service activities, regardless of whether these are administrative, functional or auxiliary. As such, methods and procedures initiate and link all components of the generic administrative functions. It, therefore, forms an indispensable part of any public organisation's functions and processes. Building on these characteristics of methods and procedures, the first section of this chapter studied various perspectives of methods and procedures. The first perspective, historical, illustrates how historical developments influence the general trends in the development of methods and procedures. It was revealed that rigid rule bound standardised procedures had to make place for flexible procedures that takes the needs and demands from the internal and external environment as well as input and feedback from the public into account. An institutional perspective towards studying methods and procedures was explained by differentiating between open and closed schools of thought. The open school of thought that is characterised by the inflow and outflow of information as well as continuous change in the different components of an organisation, was found more suitable to this study than the closed school of thought that involves minimum citizen participation. Unofficial guidelines were then described with reference to administrative justice. A legal approach to studying methods and procedures was also described. This section was concluded with a discussion on service delivery and the *Batho Pele* principles.

The theory of scientific management, theory of bureaucracy, systems theory and the public choice theory was expounded upon in the second section as the theoretical foundation of methods and procedures. Of the four theories, the systems theory was the most applicable to this study. An explanation and a diagram were provided to illustrate the utilisation of the systems theory when drafting standard operating procedures. Notably, the application of the finest and relevant characteristics of all these theories will result in the most efficient, effective and economically developed standardised procedures in contemporary government departments. The nature and scope of methods and procedures was explored. In section three the significance,

advantages and disadvantages as well as the circumstances that necessitate methods and procedures were discussed. Barriers towards successful implementation of methods and procedures in public institutions were also identified.

Specific reference was made to standard operating procedures in the fourth section of the chapter. The concept 'standards' was defined in relation to methods and procedures. The link between bureaucracy, red tape and standard operating procedures, as well as the benefits of implementing standard operating procedures in public institutions was also expounded upon. The chapter was concluded with a brief explanation of the general guidelines for drafting standard operating procedures. The five phases of the ADDIE model were considered suitable for this study.

The structure and scope of DLTCs is explored in Chapter 5, while the research design method is elaborated upon in Chapter 4. The following chapter, provides an overview of internal control mechanisms as instruments to monitor and oversee the implementation of standard operating procedures.

## **CHAPTER 3: IMPLEMENTATION OF STANDARD OPERATING PROCEDURES AS INTERNAL CONTROL MECHANISM**

### **3.1 INTRODUCTION**

The problem being investigated is the lack of contemporary and relevant standard operating procedures which impede the effective issuing of driver licences at the MM DLTC. An extensive literature review was conducted on the determining and revision of methods and procedures in Chapter 2. However, this study would be incomplete if the development of methods and procedures is described without a discussion of effective and efficient ways to administer the implementation thereof. This chapter critically reviews an internal control system and mechanisms that could be of value to the MM DLTC.

This chapter aims to reflect on what has been learned about internal control over the years and find solutions for the implementation of methods and procedures in public administration. To complement the epistemological pluralism approach, two theories, namely: the institutional and the systems theory is utilised as the foundation for this chapter. With regard to the methodological approach, information was obtained from journal articles, unpublished dissertations and theses, research reports, textbooks, the internet and relevant legislation. Since internal control originated in the accounting and auditing context, the historical development of internal audit had to be explored to fully understand the changing role of internal control. For this reason, the literature review included relevant journal articles from both disciplines; Public Administration; Accounting and Auditing. This chapter is divided into eight primary sections. A deductive approach was followed by conceptualising the concepts 'internal control' and 'internal control system', before embarking on refined descriptions in the other sections. The second section describes the changing role of internal control. The concept *internal control* has traditionally been regarded solely as a means to ensure accurate accounting and bookkeeping. However, internal control evolved with the advent of time to include all operational activities. The details of these developments are expounded upon in the second section.

A multi-theoretical approach is followed when the institutional and systems theory is described in relation to internal control in public institutions. Legitimacy is described as the primary focus of institutional theories while the systems theory is discussed accentuating effective and efficient control. An outline of the internal control regulatory framework is provided in section four.

Specific reference is made to the primary components of an internal control system in the fifth section. Features which influence internal control is discussed in this section. The section is concluded with a description of the significance of maintaining an internal control system. Common internal control mechanisms are briefly described in the sixth section, while the significant role-players legislated responsibilities in internal control is expounded upon in section seven. The chapter is concluded with a brief description of the evaluation of an internal control system.

The following section defines the concept ‘internal control’ as a process and relates it to an internal control system as a prelude to descriptions of its changing role including the theoretical foundation thereof.

## **3.2 CONCEPTUALISING INTERNAL CONTROL**

Internal control exists at all levels in all organisations and at all spheres of government. Control is deeply rooted in the processes set to provide reasonable assurances that organisational objectives will be achieved effectively while complying with applicable laws and regulations. Therefore, internal control comprises of manual and electronic systems as well as the procedures and processes implemented to minimise the risks to which an organisation might be exposed to as a result of negligence, organisational weaknesses, fraud or any other irregularities. Internal control thus contributes towards the promotion of public accountability, since it provides an assessment, evaluation and report on illegalities, irregularities and ineffectiveness in the operational and financial areas of an organisation (Diamond 2016:374 & 379; Nzewi 2017:3).

In the following subsections, the focus is on simple definitions of ‘internal control’ and ‘internal control system’. Furthermore, internal control is described as a process.

### **3.2.1 Internal control defined**

Control as a regulatory management task is regarded as one of the foundation processes of effective public management, and can be defined as a process designed to provide reasonable assurance about the achievement of objectives. As stated in Chapter 1, section 1.6.4.3 (*Implementing control mechanisms*), internal control is a process that seeks to ensure compliance with applicable laws and regulations, promote reliability of financial and managerial reporting and co-ordinate the effectiveness and efficiency of operations so that institutional objectives are implemented and pursued according to plan (Changchit, Holsapple & Madden 2001:438; Ijeoma & Nzewi 2016:62).

The following objectives are pursued to realise the aim of internal control:

- Endorsing effective and efficient operations and programmes.
- Validating reliable financial and operational reporting.
- Promoting sound and useful management information.
- Detecting, managing and preventing risks.
- Protecting institutional interests, resources and assets from losses.
- Evaluating the level of performance and productivity.

The need to demarcate the broader work environments within which public officials have to operate, as well as the need to identify the way in which the officials individually and collectively must pursue their respective goals, necessitate internal control in public institutions. Internal control is utilised to determine whether resources and assets are managed as prudently as possible and the service is of an acceptable standard. In essence, internal control assists management to evaluate institutional progress, or the lack of it, to eventually achieve the institution's objectives with the minimum resources. Indeed, the scope of internal control must be relatively wide to include all operational and managerial activities. It is thus fair to state that internal control cannot exist in isolation, but functions alongside other well-founded administrative functions and processes. For example, to exercise control successfully, it is important to determine minimum standards against which performance can be measured. This is done by means of standard operating procedures. Furthermore, the monitoring of an internal control system includes the review of existing procedures, while, standard operating procedures also need to be developed for the effective implementation of each of the internal control mechanisms (Arwinge 2013:42). The concept 'internal control system' is discussed below.

### **3.2.2 Internal control system defined**

An internal control system, as defined by Visser and Erasmus (2015:278), refers to the policies and procedures, as well as the organisational structures and control mechanisms designed and adopted by the management of an organisation to provide reasonable assurance that the organisational aims and objectives will be achieved while preventing, detecting and correcting any adverse events. The primary components of an internal control system include the control environment, risk assessment, control mechanisms, information and communication, and monitoring as described in section 3.6.1 below (*Components of an internal control system*).

Designing and implementing an internal control system is a legal requirement for national and provincial government departments as well as for municipalities. According to Section 38 of the PFMA, the accounting officer of a national or provincial department must ensure that an effective, efficient and transparent internal control system is implemented. The implementation of a control system is obligatory or disciplinary steps would be taken against any official who undermines the system. With regard to local government, Section 67 of the MFMA stipulates that any local municipality must implement and manage an internal control system to guard against fraud, theft and financial mismanagement. In terms of auditing an institution's internal control system, Section 6(2)(e) of the PFMA, assigned the responsibility to the National Treasury to investigate any internal control system in any government department, public entity or other constitutional institution. Municipalities may also be investigated by the National Treasury in terms of Section 5(2)(d) of the MFMA. Furthermore, a provincial treasury is obliged to monitor compliance with the MFMA as stipulated in Section 5(4) of the MFMA (PFMA 1999: Section 6(2)(e) & Section 38; MFMA 2003:Section 67).

It is clear from the above that, among other factors, legal requirements necessitate the implementation of an internal control system. Other factors that stimulate the need for an internal control system includes: complexity of tasks; scope of delegations; frequency of errors; consequences and potential costs of errors; management style and a change in the organisational structure. In a rapidly changing environment, internal control becomes significantly more important. Changes in management, the staff composition and computer systems often result in a fundamental redesign of an internal control system. External changes, such as demands from stakeholders and partnerships with other significant role-players, may also lead to the implementation or the redesign of an internal control system. If change is not managed well in the organisational structure and other organisational systems, it may pose a threat to maintain an effective internal control system (Pickett 2001:223).

It is clear that without an accurate internal control system, reliable and relevant financial and management information will not be accessible to make informed decisions. Consequently, effective financial and management reporting will be lacking. An internal control system thus provides the public managers with vital information to determine whether the institution's activities operate according to pre-determined plans, policies and procedures (Coe 1989:121 & 122).

Moreover, an internal control system produces accurate information to enable proper and appropriate corrective actions, where necessary. An internal control system should be logical in nature to effectively contribute to improved individual and



institutional performance. When logically constructed, a control system stimulates productivity and growth as well as greater independence and responsibility among management and their subordinates. The prerequisite is that most employees have to accept the control system as useful and helpful in reaching the institution's objectives. An internal control system thus reduces potential losses and expenses, but only when a variety of interrelated internal control mechanisms operate such that the benefits outweigh the cost of implementing it. To minimise the costs during the design and implementation of a control system, only the least possible control mechanisms needed to achieve desired results, should be applied (Crous 1990:490).

This section briefly conceptualised internal control to explain that it is a process designed and implemented by management to provide reasonable assurance about compliance with legislation, the effectiveness and efficiency of operations and the reliability of financial reporting. The next section outlines internal control as a process before, during and after the implementation of operational activities.

### **3.2.3 Internal control as process**

A 'process' may be defined as a collection of activities that requires one or more types of input and creates an output of value. Building on the definition that internal control is established by management to ensure compliance with laws and regulations, promote reliability reporting and co-ordinate the effectiveness of operations, it can be argued that the internal control process comprises of a collection of organisational measures and mechanisms that produce assurance that all financial and operational objectives are in place to meet the organisation's objectives. Internal control can thus be viewed as a fundamental and basic process that does not solely relate to accounting and financial matters, but also produces an assurance of the reliability of information and safeguarding of the organisational assets (Visser & Erasmus 2015:278 & 279).

As mentioned previously, internal control is a regulatory management task that is interwoven with the total task execution process. Therefore, internal control is not static and should not be separated from the everyday tasks of public officials. Internal control thus has an ongoing nature and should be practiced continuously. It is not a simple systematic process but is indeed comprehensive as it takes place before and during the execution of a task as well as after the task has been completed (Fourie, 2007a:736).

The initial phase in the internal control process is to define specific and measurable accomplishments to be achieved within a specified time and under specific cost constraints. Hence, control prior to the execution of a task entails the design and

acceptance of organisational objectives as well as the drafting of standard operating procedures that will be used as measures to assess the achievement of objectives. The procedures need to clearly formalise what is to be accomplished, who will be involved, when the activity will be completed and what and how many resources will be utilised to provide a basis for an ongoing monitoring process (Visser & Erasmus 2015:280).

The second phase in the control process involves the actual implementation of internal control to establish whether progress is being made towards achieving institutional objectives. Deviations from standard operating procedures formulated during the first phase of the control process are identified, and remedial measures are issued to ensure that anticipated results are achieved. It entails the comparison of actual performances with the expected outcomes. This allows for the identification of differences or performance gaps (Crous 1990:487 & 488; Visser & Erasmus 2015:280-282).

The third phase in the control process is to determine the reasons for discrepancies between actual and expected conditions by reviewing differences, assessing productivity levels and identifying neglected tasks. In essence, this involves collecting information about various operational activities and determining the basic reasons for deviations from predetermined methods and procedures. The detailed analysis of the reasons for differences links up with the fourth phase that is, recommendations for corrective actions (Pickett 2001:81). Control after execution primarily involves the issue of instructions of how to correct deviations from standard operating procedures and other set standards to ensure that similar errors and deviations do not re-occur. The final phase in the control process includes follow-ups and constant feedback. This is in effect a means to check the effectiveness of the suggested corrective actions and the manner in which the actions had been taken. Furthermore, provide recommendations of how to correct errors and deviations. Internal control after the execution of a task entails preparing reports on the internal control system applied in the organisation. This final step includes a detail description of any weaknesses of the internal control system as well as ways of improving the latter in the individual control mechanisms, that is, the monitoring and evaluation of the internal control system (see paragraph 3.9 (*Evaluating an internal control system*) for more detail) (Visser & Erasmus 2015:281-282).

Internal control as an on-going process has always been perceived as an integral part of financial management, and more so as an instrument for improving public services. The most influential aspects on the changing role of internal control is highlighted in the following section.

### 3.3 THE CHANGING ROLE OF INTERNAL CONTROL

The concept 'internal control' originated within the auditing field and has traditionally been regarded as a means to specially ensure accurate and reliable accounting and bookkeeping. As early as 1500, standard accounting techniques were developed to assess businesses' financial positions. From 1500 up until about 1850, auditing and accounting standards were primarily concerned with the detection of financial related fraud, and none or very limited attention was given to internal control (Arwinge, 2013:76 & 77). As mentioned in Chapter 2, section 2.2.1.1 (*The politics/administration dichotomy (1900 – 1926)*), Public Administration as a discipline originated in 1887 with the publication of Woodrow Wilson's article *The Study of Administration*. Wilson formulated the well-known politics/administration dichotomy that brought about the general acceptance of a top-down policy-making approach. Unfortunately, a clear explanation of the role of the execution of control in public institutions was lacking in Wilson's 1887 article (Wilson 1887:120-125). It was only in 1905 that Lawrence Dicksee, an auditing specialist, recognised the significance of internal control, in the discipline Auditing and Accounting. Dicksee (1905: 53) outlined that the objective of a financial audit is threefold, that is: detect fraud; detect technical errors; detect errors in accounting principles. Internal control during this period was thus limited to be a set of dictating rules with the sole purpose of confirming accurate bookkeeping, with the exception of reference by Montgomery (1912:9) to the separation of duties as a mechanism to ensure satisfactory internal control.

In 1932, Mary Parker Follett wrote that "*the object of organisation is control, or we might say that organisation is control*" as published in 1937 in the collection edited by Gulick and Urwick "*Papers on the science of Administration*". Follett openly described control as a process when she defined the essential values of organisation as the co-ordination of all related factors within a situation and as an ongoing process (Gulick & Urwick, 1937:161-169). In 1937, Gulick and Urwick introduced Public Administration scholars to the acronym POSDCORB that stood for *planning, organising, staffing, directing, coordinating* and *budgeting*. As in the case with the determining and revision of methods and procedures, Gulick did not openly describe internal control as a management task or as an essential administrative process. However, during this time-frame, public institutions expanded and demands for frequent and more thorough control increased (Gulick & Urwick, 1937:161).

As stated in Chapter 2, Public Administration evolved during 1938 to 1947 as an independent discipline. Public Administration then had the freedom to add a human dimension to the discipline. This accomplishment encouraged the study of the individual and his/her behaviour in government institutions. During this period, the

human behavioural approach considered the individual's control over his/her own working environment to be more important than rigid control systems and measures. Building on these developments, rhetoric about innovative control processes that makes provision for flexible and transparent internal control is often raised nowadays as part of the behavioural approach (Thornhill, Van Dijk & Isioma 2014:9; Nzewi 2017:2 & 3).

Since the second half of the twentieth century, increased incidents of fraudulent activities have been one of the primary reasons for improved organisational governance. What's more, the increased complexity of organisations, rising costs in specialised auditing services, the upswing in information and communications systems, as well as demands by managers for more sophisticated information, all resulted in calls for greater reliance on control related measures and mechanisms. A quest for better financial transparency commenced and internal control as an accountability mechanism appeared more visible in governance (Brown 1962:696).

After World War II, Public Administration changed its character. In 1967, midst tension between the value of 'efficiency' and 'legality', Cloete identified six generic administrative processes, that is, policy-making, organising, financing, staffing, determining work methods and procedures and controlling, as an attempt to strengthen Public Administration as an autonomous discipline in South Africa. The implementation of internal control was described as an essential element to ensure that all public management and administrative actions are aimed at satisfying the needs of the public (Cloete 1967:58).

Regarding further developments in the auditing and accounting milieu, the financial scandals of the 1980s in the United States and the United Kingdom led to the founding of the Combined Code on corporate governance. The Combined Code integrated recommendations of the then Cadbury Committee (1992), Hampel Committee (1998) and Turnbull Committee (1999) in England, and served as a guideline to the directors of organisations on how to report on internal control. The guidelines included in the Combined Code extend beyond purely financial aspects to embrace a broad range of risk areas. The result of this effort was that internal control was now linked to risk management. This change signified a transformation in the relationship between auditing, internal control and risk management (Internal Control Working Party 1999:1 & 2; Spira & Page 2003:642 & 643).

The same period characterised policy implementation as continuous interaction between the shaping of objectives and the actions needed to achieve the objectives. Clear guidelines of who needs to perform a task, with what resources, when, how and

why, were constantly sought from auditors and detailed audit reports in both the private and public sectors. However, in the 1980's, an increased level of complexity of organisations' operations made it impossible to verify each and every transaction without incurring unreasonable costs. By the end of the 1980s, the auditors availed themselves to organisations' management and their clients, and also reduced their fees. Consequently, the auditors responded to the pressure by emerging risk management approaches that propagated drastic reduction in overly detail checking and documentation of internal control systems (Pressman & Wildavsky 1973:320-322).

Hereafter, auditors began to rely increasingly on a risk-based approach and the 'Audit Society' emerged. An important development in the emerging *Audit Society* was a rapid rise of internal control systems. By now, public service delivery began to rely heavily on private business-like styles, and decision-making was perceived as market driven. With regard to public administration, the shift from purely administrative to entrepreneurial organisations was labelled as the New Public Management movement (refer to Chapter 2, section 2.2.1.5 (*From Public Administration to Public Management (1970 – 1990)*)). In the 1990s, internal control would only be welcomed in public institutions as democratic, flexible and decentralised procedures. As in the case of standard operating procedures, internal control was re-introduced to public administration as part of a free-market orientated government (Arwinge 2013:11).

During the 1990's, calls for improved financial transparency and accountability dominated organisational governance. This led to the introduction of the Committee of Sponsoring Organizations of the Treadway Commission (COSO) in 1992. The COSO produced a report that specifically addressed the role of internal control in securing improved corporate governance. The report comprised an analysis of the primary features of internal control as well as a framework for the establishment and evaluation of internal control. Internal control was defined in the 1992 COSO report as (Committee of Sponsoring Organizations of the Treadway Commission 2015a:9):

*“A process, effected by an entity’s board of directors, management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:*

- *effectiveness and efficiency of operations;*
- *reliability of financial reporting; and*
- *compliance with applicable laws and regulations.”*

The 1992 COSO framework confirmed internal control as a process that provides reasonable assurance that organisational objectives, both financial and non-financial,

have been met, but added the words “*in an effective manner*”. The utilisation of the concept ‘effectiveness’ in the definition was a drastic change in how managers and auditors perceived internal control. Strict financial and budgetary controls were complimented with transparent control mechanisms including all operational activities. Internal control no longer only refers to accurate accounting and policy implementation, but became part of public management and essential government processes. During December 2014, the 1992 COSO framework was superseded by the 2013 integrated framework for internal control (Committee of Sponsoring Organizations of the Treadway Commission 2015a:Online).

Furthermore, in 1995, the Canadian Institute of Chartered Accountants developed criteria for a control framework, and provided a definition of control that directly relates internal control to achieve organisational objectives (Spira & Page 2003:640 & 641). By now, the definition of control was clearly extended beyond financial control. During the same period, Power (1999:15-20 & 42) argued that there has been an important change in the nature of governance, that is, regulation from above to regulation from the inside of an organisation. He stated that governance changed from a compliance-based style of regulation to a risk based orientation. The result was that internal auditing and internal control extended to risk management. Internal control started to look beyond compliance and financial regulatory to also consider performance management and productivity measures. According to Kettl (2002:584), in the latter part of the 1990s, globalisation and the arrival of the Internet applied pressure on governments to reduce most of their traditional responsibilities and rigid hierarchical structures faded. As a result, collaboration between government and the private sector thrived and a more inclusive public service emerged. Public managers had to rely on flexible internal control and procedures to cope in continuous changing environments.

After 1994, significant transformation took place within the public service in South Africa. In fact, the South African public service is still undergoing transformation. Issues such as race, discrimination, physically challenged persons and gender, continue to drive the transformation process. Furthermore, since 1994, internal control became a significant concern and the PFMA was introduced in 1999. Section 38 of the PFMA requires an accounting officer to implement and maintain a system of internal control. Treasury Regulation 3.1.10 elaborated on the provisions issued in terms of the PFMA and stipulates that an audit committee must review the effectiveness of an internal control system. These, and other reforms on financial management and subsequently internal control, have a constitutional mandate. Section 215(1) of the Constitution of 1996 stipulates that national, provincial and municipal budgets must promote transparency, accountability and the effective financial management. Internal control thus became central in supporting good

governance in the South African public service, particularly with regard to values such as accountability and transparency (PFMA 1999:Section 38; Treasury Regulations 2005:Regulation 3.1.10; Constitution 1996:Section 215 (1)).

Since 2010, internal control maintained a formidable presence in government institutions. Today, a significant number of organisational activities fall under internal control. Modern internal control mechanisms rely less on the burden of strict and formal authority, while providing more opportunities for self-regulation and cooperation with non-governmental organisations. In the public sector, internal control is no longer solely driven by auditing related concerns, but rather by public choices and public participation (Basheka 2012:61). Internal control thus evolved to include the social implications of government's actions. It is not surprising that public managers pay increasingly more attention to the design of effective internal control systems. Internal control has thus become an autonomous field of expertise. Remarkably, internal control systems now lie at the centre of governance in the public sector (Arwinge 2013:11).

This section briefly considered the changing role of internal control by illustrating that traditionally internal control had a direct relationship to auditing and accounting checks. However, with the introduction of broader definitions, internal control significantly expanded its domain to general management control that covers all operational activities. To fully understand the concept of internal control in public institutions, the theoretical foundation of internal control is expounded upon in the context of public administration.

### **3.4 THEORETICAL FOUNDATION OF INTERNAL CONTROL**

Several recently completed dissertations and theses in Public Administration (Matshego 2011:31-53; Adanri 2016:24-28; Morgan 2016:21 & 22) revealed that a multi-theoretical approach is applied to understand internal control within the context of public administration. In this Chapter, a complementary approach between the institutional and the systems theory is followed to provide a clear understanding of how internal control enhances the implementation of methods and procedures in public institutions, including local municipalities.

The theories used in this chapter supplement the perspectives and theories described in Chapter 2. This section below discusses the institutional theory followed by the systems theory.

### **3.4.1 Institutional theory**

The institutional theory emanated from work accomplished by Meyer and Rowan (1977) and DiMaggio and Powell (1983). Institutional theories claim that institutions develop and design structures, processes and systems purely because they are legally required to do so (Meyer & Rowan 1977:340; DiMaggio & Powell 1983:149). Institutional theories perceives organisations as the building blocks of society by accepting that institutions operate in an open environment that comprises of other institutions. The organisational structures, customs and operations of every institution is consequently influenced by the broader open environment. In this environment, the primary goal of organisations is to survive and to gain legitimacy. It is thus accepted that organisations are more likely to survive if they can achieve legitimacy and enjoy the support of the institutional environment. Moreover, organisational structures develop through a process of adjustment in response to stimuli from the institutional environment. In this way, repeated patterns of actions become institutionalised rules and in return, imposed on the organisational activities (Arwinge 2013:31 & 32; Scott 2014:181-200).

Scott (2014:235) also assert that to survive, organisations must conform to the rules, regulations and belief systems prevalent in the environment. For that reason, the institutional theories advocate that organisational structures and rules have a vast impact on organisational activities and thus shape the actions and behaviour of the staff within the organisation. Rules and standard operating procedures therefore prescribe how organisational activities should or must be performed. In short, institutional theories emphasise the formal and legal aspects of government structures. Public management is thus not primarily influenced by economic and financial features, but predominantly by a need for legitimacy. The institutional theories promote institutional mechanisms to channel the organisational goals, the way information is communicated, and the current processes and procedures in place. From these perspectives, internal control is used to gain legitimacy within the institution. The implementation and utilisation of certain governance structures and rules, such as internal control mechanisms, the regular maintenance, monitoring and evaluation of the internal control system, as well as the utilisation of an audit committee and an internal control function, contribute towards gaining institutional legitimacy.

However, internal control cannot be studied exclusively in terms of legitimacy. For a comprehensive description of internal control, democratic values such as accountability, transparency, effectiveness and efficiency must also be underscored. Therefore, institutional theories as foundation for internal control that accentuates



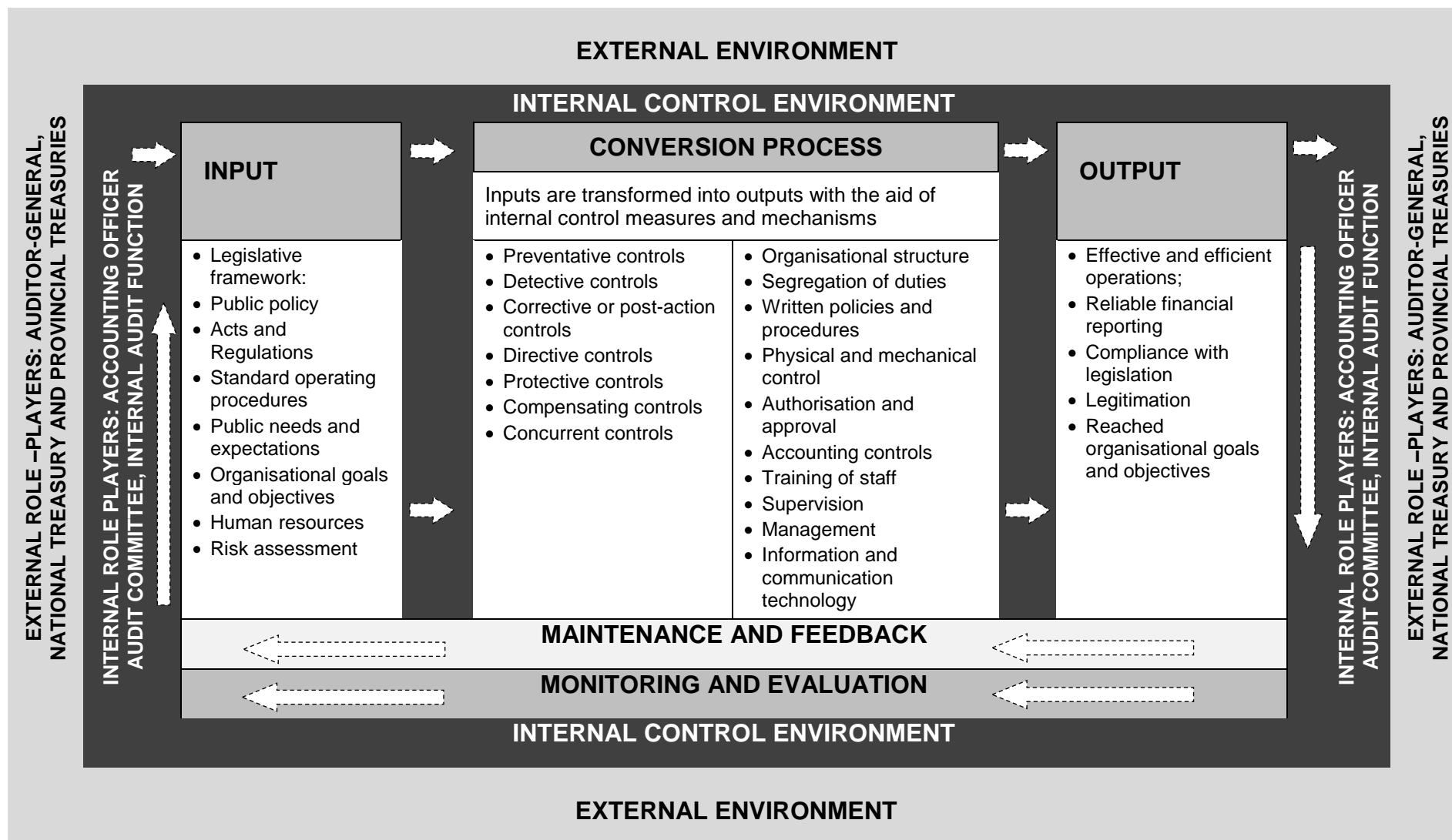
legitimacy, the systems theory is attended to in the next section. Effective and efficient control, as part of the multi-theoretical approach is underscored.

### 3.4.2 Systems theory

As described in Chapter 2, section 2.3.3 (*Systems theory*), the systems theory refers to the orderly arrangement of an interactive and interrelated set of elements, known as subsystems. The elements or parts of the subsystems are interdependent, that is, a change in one element influences the other parts and ultimately affects the entire system (Von Bertalanffy 1972:410).

The primary components or subsystems of an internal control system, namely the control environment, risk assessment, control activities/mechanisms, information and communication, and monitoring, do not act in isolation and are all dependent on each other. Also, the co-ordination as well as the orderly arrangement of the interrelated control mechanisms, that is, the organisational structure, segregation of duties, written policies and procedures, physical and mechanical control, authorisation and approval, accounting controls, training of staff, supervision, management as well as information and communications technology, comprises an internal control system. The interconnected nature of the internal control mechanisms requires all mechanisms should be considered in relation to each other. It demands, for example, that the organisational structure, segregation of duties as well as authorisation and approval be considered together, and supervision and management objectives be developed in relation to each other (Mofolo 2015:891 & 892).

The unified nature of an internal control system also requires the combined efforts of the control mechanisms. An internal control system is thus more than a sum of different control mechanisms as it builds on the synergy between the mechanisms to form an integrated whole. In summary, the integration of the components, the control mechanisms as well as the main role-players in the internal control system to achieve the organisation's objectives, mirrors the nature of the systems theory. Utilising the background information provided, internal control as a system, can be illustrated as follows in Figure 3.1. The internal control mechanisms identified in Figure 3.1 were incorporated in the basic framework for the development of standard operating procedures, as depicted in Figure 7.1 (*Schematic illustration of the framework for the development of standard operating procedures*) of Chapter 7.



**Figure 3.1: Simplified illustration of a system of internal control**

**Source:** Adapted from Von Bertalanffy (1972:410 & 417).

All public institutions are required to adhere to statutory provisions regarding internal control. The regulatory framework for internal control is the point of departure for the subsequent sections.

### **3.5 INTERNAL CONTROL REGULATORY FRAMEWORK**

The Constitution of the Republic of South Africa of 1996 as the supreme law of the country provides the basic principles of public internal control. Section 195(1) explicitly stipulates the requirements for accountable public administration by emphasising the cornerstone principles for public administration, that is, accountability, transparency, efficiency, effectiveness and economy. Likewise, Section 215 prescribed that national, provincial and municipal budgets must promote accountability transparency and effective financial management. Furthermore, Section 216(1) obliges the National Treasury to prescribe standard measures that ensure transparency for optimum financial management and internal control. These constitutional provisions form a cornerstone for the following regulatory framework for effective internal control (Qwabe 2014:188-190; Motubatse, *et al.* 2015:401; Thornhill 2015:82):

- Public Financial Management Act 1 of 1999.
- Municipal Finance Management Act 56 of 2003.
- Public Audit Act 25 of 2004.
- Treasury Regulations of 2005 for departments, constitutional institutions and trading entities issued in terms of the Public Finance Management Act 1 of 1999.

Furthermore, in the South African public sector, the National Treasury regards the Committee of Sponsoring Organizations framework (known as the COSO framework) on internal control as embodying international best practices, thus providing guidelines to improve institutions' internal control systems (Motubatse, *et al.* 2015:402).

Besides the above regulatory framework, internal control in the public sector is also steered by unofficial guidelines. Standard operating procedures, training manuals, financial agreements, monitoring and evaluation reports, annual performance plans, strategic internal audit plans as well as risk management strategies are all used as extension of the formal regulatory framework. Adding to the list of soft or unofficial documents and guidelines, the King II Report supported the establishment of an internal audit function as a significant role-player in ensuring effective financial management by reporting on the status of internal control over an organisation's financial systems (Institute of Directors in Southern Africa (IoDSA) 2002:Online). Furthermore, the King III Report states that internal audit provides management with

reasonable assurance about the effectiveness of an organisation's internal controls. Although the King II and III reports mainly apply to state-owned enterprises and agencies that fall under the PFMA, it guide the protocol that should be applied in the corporate governance in the public sector (Institute of Directors in Southern Africa (IoDSA) 2009:Online). Government systems, such as the Basic Accounting System (BAS) and a range of management information systems close the regulatory framework circle on the internal control regulatory framework.

It is evident from the mentioned Acts and Regulations that internal control in the South African public sector operates within an extensive legislated framework. It needs to be highlighted that the implementation of an internal control system cannot take place as a once off practise within a rigid and static regulatory framework. An internal control system and all the complimentary processes need to remain flexible to accommodate inevitable organisational change and external influences. Internal control and the environment in which the internal control mechanisms operate indeed changed over the years (Motubatse, *et al.* 2015:401 & 402).

The questions that arise include: 'What are the components of an internal control system?' and 'What aspects need to be taken into consideration when designing an internal control system?' The following section presents possible responses to these questions, and other aspects such as, maintaining an effective internal control system, and the significance of monitoring and evaluation a control system on a regular basis.

### **3.6 INTERNAL CONTROL SYSTEM**

Fundamental components that management should consider when designing and maintaining an internal control system is highlighted in the following sub-sections.

#### **3.6.1 Components of an internal control system**

It may be deduced from the above characterisation of an internal control system that it represents the fundamental processes, mechanisms and components that must be implemented to control an organisation effectively. Pickett (2001:55 & 307) supports the fundamental components identified in the COSO framework as being applicable to the public sector. These components are interrelated and include the control environment, risk assessment, control mechanisms, information and communication, and monitoring, which will be elaborated upon.

### **3.6.1.1 Control environment**

The control environment comprises of the standards, processes and structures that top management implements for internal control. A control environment represents the philosophy of the organisation's top management about commitment, integrity and ethical values. Management's view of authority, responsibility and accountability is also embedded in the control environment. The latter environment can be considered as the foundation on which, as well as the umbrella under which the other components of internal control thrive. If this foundation is strong, the entire system of internal control will be effective and efficient so that the organisation's objectives can be reached timeously (Kgomo & Plant 2015:87-89; Committee of Sponsoring Organizations of the Treadway Commission 2015a:Online).

In a positive and well-communicated control environment, operational activities work smoothly towards set goals. A clear statement of goals must thus be set by management because it forms the basis for the dispersal of institutional resources. Hence, roles and responsibilities must be agreed upon from the outset of establishing an organisation. The primary reasons for unconstructive control environments include, amongst other reasons, unrealistic objectives, vague role definitions, a lack of integrity and ethical values, inadequate reporting lines as well as the recruitment and retention of incompetent individuals (Committee of Sponsoring Organizations of the Treadway Commission 2015b:Online).

### **3.6.1.2 Risk assessment**

The concept of risk can be explained as a measurement of uncertainty and is measured in terms of effect (impact) and likelihood. Risks include those factors that prevent the achievement of an organisation's goals. As indicated in section 3.3 (*The changing role of internal control*), internal control has always had a direct relationship with risk assessment and risk management. Areas in which the consequences of errors will most likely result in failure for the organisation need to be identified and prioritised as a matter of urgency. Once risks are identified, management should consider its significance, the probability of its occurrence and the management thereof. Furthermore, a strategy and procedures must be developed to manage these risks to direct and prioritise the internal control processes and mechanisms (Fourie 2007a:739 & 740, PFMA 1999:Sections 51(1)(a) & 76(4)(b)).

The requirements for effective risk assessment can be summarised as follows (Committee of Sponsoring Organizations of the Treadway Commission 2015b:Online):

- Understand the organisation's aim and objectives.
- Identify the risks that prevent the achievement of the objectives.

- Assess the risks, including the likelihood and potential effect of specific risks.
- Develop and implement strategies to address the identified risks.
- Monitor and evaluate the risks and the strategies in place to address risks.

Risk management is the total process of identifying, assessing, controlling and mitigating risks that may adversely affect operations and the achievement of an organisation's goals and objectives. Risk management thus aims at minimising the adverse effects of losses and uncertainties associated with risks and non-compliance with methods and procedures. The identification of high-risk areas is included in risk management.

In the public sector, an internal control system should utilise various control mechanisms. Hence, the significance of implementing a variety of interconnected internal control mechanisms is discussed in the next section.

### **3.6.1.3 Control mechanisms**

Control activities or mechanisms are the structures, policies and procedures that help to ensure that management's directives are executed and takes place throughout the organisation, at all levels and in all functions. The control mechanisms include a range of mechanisms such as (Auditor-General 2015:Online):

- Organisational structure.
- Segregation of duties.
- Written policies and procedures.
- Physical and mechanical control.
- Authorisation and approval.
- Accounting controls.
- Training of staff.
- Supervision.
- Management.
- Information and communications technology.

Refer to section 3.7 below (*Internal control mechanisms*) for a brief description of each one of these control mechanisms. These internal control mechanisms are applied to the MM DLTC in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*).

As previously mentioned, a single control mechanism would seldom suffice to meet an institution's objectives. A combination of control mechanisms or complimentary control mechanisms thus comprises an entire internal control system. There must be synergy between the different internal control mechanisms so that management's directives are executed, risks are reduced and objectives are met (Committee of Sponsoring Organizations of the Treadway Commission 2015b:Online).

For an organisation to implement the above listed internal control mechanisms effectively, it must have, amongst other requirements, relevant, valid, reliable and timely information and communication of internal and external circumstances and events that may affect the organisation (Committee of Sponsoring Organizations of the Treadway Commission 2015b:Online). The following section will briefly discuss information and communication as significant components of an internal control system.

#### **3.6.1.4 Information and communication**

The significance of information and communication in general, and the consequence of producing relevant, timely, reliable and high quality information for decision-making purposes, is essential for effective internal control. An internal control system functions as an information feedback system in which information is conveyed so that managers are able to make informed decisions. Determining the direction for the flow of communication in the control system depends largely on the organisation's goals. Within the context of internal control in the public sector, one of the most challenging aspects of communication facing public officials is ensuring that all role-players, such as the accounting officer, audit committee, internal audit function, Auditor-General and the National Treasury and provincial treasuries, receive the correct information timeously. Effective communication thus directly influences the success of the internal control system (Simons 1991:49).

Information needs to be identified, captured, distributed and used in an organisation so that the staff is able to complete their internal control responsibilities. From a broader perspective, information and communication programmes used within an organisation, should enable managers and staff to execute their tasks and transactions effectively. With regard to information and communications technology, auditors need not only to audit an institution's information systems, such as computers and network hardware and software and satellite systems, but also utilise technology to advance the audit process (Visser & Erasmus 2015:292).

Monitoring is discussed in the following section.

### **3.6.1.5 Monitoring**

Internal and external factors, such as a surge in policies and procedures, new and changing public demands and developments in information technologies, place increasing pressure on organisations to change. Subsequently, the organisation's standard operating procedures and internal control processes will need to change if it is to remain relevant and effective. Therefore, a specific management component needs to provide assurance that the internal control activities and mechanisms used in the organisation remain adequate and effective over time. Monitoring must assess the performance of the internal control systems over time. (Committee of Sponsoring Organizations of the Treadway Commission 2007:i).

An organisation's internal control system must be monitored regularly to assess whether control mechanisms are effective and operate as intended. On-going monitoring occurs through routine managerial activities, such as supervision, reconciliations, comparisons and performance evaluations. Monitoring may also occur through internal evaluations or audits as well as by external sources, such as the Auditor-General. Deficiencies found during monitoring must be reported to the relevant employees, and severe insufficiencies and weaknesses reported to top management. Continuous monitoring is thus necessary, primarily because previously monitored controls tend to deteriorate over time. In summary, the following principles reinforce the monitoring framework (Arwinge 2013:50):

- Ongoing monitoring assists management to determine if the components of internal control continue to function effectively over time.
- Internal control weaknesses should be identified and communicated in a timely manner to management, as appropriate.

While it is necessary to understand what components need to be taken into consideration when designing an internal control system, it is also important to highlight the challenges that an internal control system can face. In the section that follows, features that negatively influence an internal control system is described.

### **3.6.2 Features influencing an internal control system**

A shortcoming of internal control is that it is a burdensome process. Criticism that employees become so concerned with complying with rules and procedures that they lose sight of the objective is heard often. Control also refers to the process of enforcing rules and procedures. As such, control is perceived as a bureaucratic tool utilised to manipulate employees' behaviour. Documentation, recording and the authorising of



transactions is thus perceived as a matter of pure bureaucracy that interferes with the daily management of the total task execution process. Furthermore, serious weaknesses are often found in individual control mechanisms, for example, rigid and unyielding supervision impedes creativity, growth and staff retention; while a lack of proper discipline encourages unproductivity and fraudulent activities (Spira & Page 2003:640 & 641).

Implementing an internal control system is seldom cost free. Hiring specialised employees such as software engineers, human resource managers, accountants, programme facilitators and auditors is costly. Furthermore, critical operational tasks and transactions are often set aside to provide time and space for the development and enhancement of an internal control system. The costs and time to implement a comprehensive internal control system often makes it impossible for under-resourced institutions to afford the expense. Another feature that may negatively influence the functioning of an internal control system, is that supervisors occasionally underscore the implementation of daily routines and activities at the expense of long-term tasks. Consequently, employees get lost in their daily routines, lose sight of the objective and become demotivated. Furthermore, unachievable expectations create situations in which employees underperform. Employees will ultimately be less productive as they will be disappointed in not reaching the unrealistic high standards and will no longer be motivated to pursue their expectations (Madue 2007:310).

Furthermore, an overly detailed internal control system poses serious challenges. The implementation of too many and excessively complex internal control mechanisms may easily result in ineffective individual control mechanism. Should this happen, the information needed for successful implementation of distinct steps in the control process may not be understood by the employees? The managers must, therefore, ensure that the correct information is communicated to relevant employees and at the appropriate time. More importantly, the control mechanisms must not be too difficult to implement. Moreover, combining contemporary control practises with obsolete control mechanisms cannot be considered. Underscoring an internal control system can make the system an end rather than a means to an end. Rigid application of internal control mechanisms can create reduced flexibility and slavish adherence to methods and procedures at the expense of the operational objectives. As soon as there is a misplaced emphasis on specific control mechanisms, employees tend to resist, which can have negative consequences for the legitimacy and effectiveness of the internal control system. The internal control processes must indeed echo a dynamic nature. It is primarily management's responsibility to ensure that the internal control mechanisms are adjusted regularly and conform to organisational growth and developments so that it remains operational and relevant. However, basic control

mechanisms and relevant standardised procedures are often not re-aligned with changing beacons and thus become inadequate and dated despite organisational growth. Management should, therefore, ensure that the internal control mechanisms is applied in a balanced manner and re-aligned with organisational change as soon as it necessary (Madue 2007:310 & 311).

The need to maintain an internal control system and aspects to consider when measuring actual performances against expected criteria is discussed in the following section.

### **3.6.3 Maintaining an internal control system**

An internal control system is not static and as the environment in which an organisation operates changes, the risks areas will also change. The internal control system or elements of the system should subsequently adapt to the changes to address the new or changed risks. Ultimately, a change in one element of the system will influence all other elements and then the whole control system. Maintaining an effective internal control system is accordingly necessary to ensure that the internal control system functions optimally on an ongoing basis. Maintaining the control system commences with measuring the actions, tasks and transactions that had taken place. Actual performances are essentially compared with set objectives in legislation, policies and procedures, specifically standard operating procedures, to determine whether it complies with minimum requirements. Should the actual performances compare favourably with the set standards, then it can be accepted that the internal control mechanisms fulfil its function. If not, it will be necessary to ensure that only relevant internal control mechanisms are applied and utilised appropriately (Arwinge 2013:62).

The measurement of actual performance is the most demanding step in the control process – specifically when evaluating if, and to what extent, the achieved outcomes or results met the desired expectations. The process involves, *inter alia*, the assessment of accounts, compliance checks, system reliability verifications, performance audits, operational checks, computer audits and fraud investigation and prevention. The findings need to be reliable and valid: management and auditors need to measure what should be measured, and the findings can be applied to similar circumstances within the same organisation over time (Crous 1990:484 & 485).

In summary, after the measurement of actual performances, the results need to be compared with set standards and minimum requirements to determine whether the internal control mechanisms have a positive effect on an organisations' performance. Since the maintenance of an internal control system is an on-going process, so is the

evaluation thereof, which is underscored in section 3.9 below (*Evaluating an internal control system*).

The effectiveness of an internal control system depends on the quality of the internal control mechanisms at the institution. In this study, internal control mechanisms include organisational structure, segregation of duties, written policies and procedures, physical and mechanical control, authorisation and approval, accounting controls, training of staff, supervision, management as well as information and communications technology (Auditor-General 2015:Online). These common internal control mechanisms are discussed below.

### **3.7 INTERNAL CONTROL MECHANISMS**

As implied earlier in this chapter, an internal control system comprises of a variety of interrelated control mechanisms. With regard to the positioning of the internal control mechanisms within an institution, provision should be made for where these are most effective and best to measure performance. Moreover, the organisation's internal and external environment should be assessed. The risks to which an organisation may be exposed to must be established so that the internal control mechanisms can be placed where needed. Failure to achieve the set objectives within certain areas of the organisation also serves as a platform of where to place internal control mechanisms (Sawyer, Dittenhofer & Graham 2005:99).

Furthermore, another significant aspect to consider when placing or implementing internal control mechanisms, is the categorisation of the internal controls. Internal controls can be categorised as the following types of control measures (Visser & Erasmus 2015:287 & 288):

- Preventative control measures are designed to predict, forecast or prevent irregularities and incidents of errors.
- Detective control measures are designed to detect errors after they occurred.
- Corrective or post-action control measures are designed to correct improper outcomes and problems already identified by detective controls.
- Directive control measures focus on management guidelines aiming at preventing undesirable contingencies.
- Protective control measures are used to guard an organisation against illegal and dishonest actions.
- Compensating control measures are designed to compensate for inadequacies and weaknesses within the control system.

- Concurrent control measures are based on the activity itself and the execution thereof.

In this section, the internal control mechanisms will be described by defining the mechanism and describing its application within a public institution. Each control mechanism is also categorised per type of control measure. Refer to Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*) for an explanation of how these internal control mechanisms are implemented at the MM DLTC.

An organisational structure will be described followed by a discussion of control mechanisms.

### **3.7.1 Organisational structure**

An organisational structure arranges and assigns essential activities and operations to departments or clusters identified within the structure; thus creating reporting lines. Operational activities are delineated and co-ordinated between different sections or clusters. An organisational structure may thus be perceived as the approved structure of roles and responsibilities, designed in such a way that the institution achieve its objectives. To a certain extent, an organisational structure gives form to authority and accountability, and consequently to delegations within a definite regulatory framework. An organisational structure thus clearly defines departmental responsibilities in relation to other departments or clusters by outlining the lines of communication. In summary, an organisational structure specifies and demonstrates the accountability levels and hierarchies within an institution (Kgomo & Plant 2015:90).

Instances wherein a basic organisational structure exists and each person within the structure understands his or her responsibility in relation to other employees, the institutional environment is generally conducive to effective internal control. In contrast to a complex organisational structure that comprises multifaceted accountability levels, a simplified organisational structure reduces the risk that employees would perpetrate or hide errors in their performance. In this way, a simplified organisational structure increases the likelihood that if one employee makes an error, another employee will discover it. The control mechanism simplified organisational structure is therefore classified as a preventative control because it aims to avoid expected problems, and takes place before the activity commences (Mofolo 2015:889 & 890).

Once an organisational structure has been determined, duties and responsibilities need to be assigned to individual employees. The following section focuses on the segregation of duties as an internal control mechanism.

### 3.7.2 Segregation of duties

Segregation of duties deals with the assignment of duties and responsibilities to employees by allocating separate steps within one task to different employees. It means that a single individual does not have sole authority over one task, in fact different employees are involved in the performance of the task. Segregation of duties makes it easier to spot mistakes because it reduces the risk of (un)intentional errors by one employee while increasing the element of checking by another (Mtshali & Ntolosi 2014:26; Visser & Erasmus 2015:279).

Although certain tasks may demand less complicated steps than others – depending on the level of complexity of the task – any task or transaction comprises the following different duties:

- Initiation of the task/transaction.
- Authorisation of the task/transaction.
- Execution of the task/transaction.
- Recording and custody of documents or assets.
- Review process.

One individual should not be responsible for more than one of these duties. Once each of the above-listed duties has been allocated to separate employees, segregation of duties has successfully been achieved. Segregation of duties is categorised as a preventative internal control mechanism as it forestalls errors and thereby avoids the cost of fraud and corruption. It eliminates significant deviations from standard operating procedures, and therefore prevents (un)intentional wrongdoing, erroneous tasks or transactions and improper utilisation of institutional resources and assets (Sawyer, *et al.* 2005:89).

To assist employees to execute their tasks assigned to them correctly, standard operating procedures need to include steps to complete the task, responsibilities, a process flowchart and reference to legislation. Written policies and procedures are described in the following section.

### 3.7.3 Written policies and procedures

As described in Chapter 2, section 2.4.3 (*Importance of methods and procedures in public administration*), methods and procedures are drafted and implemented as directives on how to execute tasks and responsibilities in conformity with legislation.

As such, methods and procedures focus on adherence to policies and compliance with laws and regulations. Despite the fact that methods and procedures (including standard operating procedures) function as directive controls for effective and efficient service delivery, it must be flexible enough to adapt to changing working conditions. The flexible nature of methods and procedures need to echo in the organisation's internal control system. An internal control system should be able to detect and correct errors and irregularities beforehand to limit cost. Corrective action can then be applied after the cause of the problem has been identified. Therefore, the internal control system must assist managers with identifying and rectifying problems. Written policies and procedures fulfil this role by acting proactively in preventing errors in the workplace. Information must, therefore, be gathered, processed and evaluated by informed and competent staff to ensure that timely corrective actions can be taken (Alvarez & Hall 2008:830; Mofolo 2015:899).

Physical and mechanical control mechanisms is discussed briefly in the following section.

#### **3.7.4 Physical and mechanical control**

Institutions should ensure that adequate and appropriate physical controls (control by people and animals), and mechanical controls (control by means of machinery and apparatus), is taken to safeguard and protect assets against theft and misuse. The specific type of physical or mechanical control depends largely upon the type of asset utilised by an organisation as well as the risks to which the assets can be exposed. The physical and mechanical aspects of internal control is primarily concerned with the custody of assets and involve security measures designed to limit access to assets to authorised personnel only (Pickett 2001:155).

However, not all organisational assets and resources can be physically or mechanically protected from harm or unlawful access. Safeguarding the working environment often also implies protecting the organisation against the performance of unauthorised tasks. The execution of tasks or transactions thus need to be authorised and approved to grant the task a certain degree of legitimacy. Authorisation and approval as one of the key functions of a task is accentuated in the next section.

#### **3.7.5 Authorisation and approval**

The approval of a task refers to the process used by a responsible person (usually a supervisor or manager) to verify that an employee who initiated a certain task has the right to execute the task and then, if appropriate, granting that employee permission to complete the task. The validity of the task is thus checked and confirmed.

Authorisation and approval take place in the form of general and specific authorisation. General authorisation implies a general directive or policy that should be complied with and is best implemented by means of written methods and procedures that are easily accessible by all employees. Specific authorisation and approval come into play when management must give permission for individual non-routine type of tasks or transactions (Diamond 2016:376).

Authorisation and approval control mechanism may be categorised as protective control measures as it is used to guard an organisation against illegal and dishonest actions. It keeps organisations safe from harm; thus assist in the accomplishment of desired results. Authorisation and approval are, therefore, necessary to ensure that resources are utilised in the interest of government and the public (Diamond 2016:376; Mofolo 2015:896).

The discussion of internal control mechanisms implied that the significance of financial and accounting controls to ensure reliable reporting. Financial and accounting controls is addressed further in the following section.

### **3.7.6 Financial and accounting controls**

As in the case with other internal control mechanisms, the implementation of basic financial and accounting controls is a crucial component for the accomplishment of policy objectives within the public sector. It was mentioned in paragraph 3.5 (*Internal Control Regulatory Framework*) that the PFMA aims to, *inter alia*, modernise public financial management through transparent and accountable internal control. In fact, the PFMA promotes internal control by assigning roles and responsibilities to the relevant role-players entrusted with financial management (Qwabe 2014:187).

Financial and accounting control mechanisms are established in line with generally recognised or accepted accounting practices, and resolve around obtaining, documenting, recording, processing and sorting financial data, as well as reporting results of financial transactions (Fourie 2007a:735). Accounting controls are fundamentally seen as tools that ensure financial accountability prevails at all times and aim to increase reliable financial data/information as well as the accuracy of the recording of transactions. Hence, financial and accounting controls ensure that an institution's transactions are valid and recorded fully and accurately in an approved accounting system so that each individual transaction can be traced (Mofolo 2015:893).

Generally known financial management include, amongst other activities, projecting revenues and expenditures, formulating expenditure frameworks, linking the

organisation's budget to policy making, preparing the executing of the budget and monitoring expenditure. Moreover, financial and accounting controls include the basic daily and monthly controls for the processing and reconciliation of transactions, the preparation of regular and credible financial and performance reports, and the review and monitoring of compliance with legislation. These financial management activities are all detective control measures as they intend to detect errors and deficiencies after they have occurred (Coe 1989:1-3).

Ensuring that employees are adequately trained to adhere to organisational policies and procedures is a universal challenge. Employees' skills need to be developed, information must be provided and attitudes need to be nurtured to assist them to become more efficient and effective in their work. This is best done through training interventions coupled with employees' career development (Bjerregaard, Haslam Morton 2016:18 & 19). The significance of training as an internal control mechanism and a tool for the successful implementation of organisational methods, procedures and internal control processes is highlighted briefly in the next section.

### **3.7.7 Training of staff**

Competent and trustworthy personnel is a non-negotiable requirement for effective and efficient service delivery. Sound public human resource management practices should be a critical part of any government department (Nkwana 2014:85). Human resource management procedures should make provision for continuous training, and staff should be encouraged to participate in training programmes. A learning environment should thus be created to provide opportunities for employees to improve their skills (Potgieter 2015:600-602). Moreover, and as mentioned in Chapter 2 section 2.4.3 (*Importance of methods and procedures in public administration*), documented procedures should be utilised to inform staff about the requirements of tasks and to set the standards against which supervisors and auditors can judge their performance. This also applies to internal control processes and mechanisms. An internal control system has to be clear, logical and understandable. When an internal control system is too difficult to understand, the staff tends to avoid control – resulting in unnecessary errors. Managers and employees involved in the internal control system and processes must, therefore, be able to understand it or the value of such a system will be questionable. Internal control processes should be documented and the steps necessary to perform the function clearly communicated to by every official involved in the institutions task execution processes (Fourie 2007a:737; Diamond 2016:377).

The implementation and maintenance of internal control mechanisms cannot be left to uninformed officials who do not understand the need for an internal control system or



who do not know how to implement it. Care should be taken to provide officials with the skills required to implement and maintain an internal control system. Incompetent staff may reduce the reliability of an internal control system. Therefore, they should be adequately trained of how to implement internal controls to ensure that organisational objectives are reached. Training thus functions as a precautionary tool and ultimately lead to increased productivity and a constructive morale (Madue 2007:314 & 315).

Training as a preventative control measure is the most desirable because it aims at preventing anticipated problems before it happens. Training needs and prerequisites to conduct internal control should thus be included in an organisation's standard operating procedures. In many instances, supervisors facilitate training in the workplace (Kroll & Moynihan 2015:411-413). Supervision as a control mechanism is discussed in the following section.

### **3.7.8 Supervision**

In layman's terms, supervision implies the acts or processes of directing a person or a group of people. From a professional perspective, supervision is the oversight of the work of other individuals by a person in a position of authority. At the workplace, supervision ensures that daily transactions and operations of an office are executed in an orderly and efficient manner. It thus ensures that individuals undertake the tasks they are required to, properly. For this reason, supervision as a control mechanism must identify deviations from standard operating procedures timeously (Fourie 2007b:351; Kanyane & Mabelane 2009:61 & 65).

Supervisors are important to an organisation not only for the managerial support tasks that they perform, but also for their integral role in the organisation's communication network. As stated before, an internal control system functions as an information feedback system in which information is communicated among an organisations' employees and relevant role-players. Supervisors play an important role in directing communication within a control system because they decipher complex information on both the top and bottom levels of the organisation. The supervisors are responsible to do what upper management wants to be done by communicating the policies, missions and goals of the organisation to their subordinates. Supervisors are thus in the perfect position to minimise risks by carefully weighing current methods and procedures against expected conditions (Gladwin & McConnell 2014:17-20; Raman & Singh 2012:21-27).

Supervision as concurrent control takes place while the work is undertaken at the operational level. It monitors current activities as it happened to ensure that the organisational objectives are met. As such, supervisors are able to correct problems

before they become too costly. In exceptional instances supervision is categorised as a compensating control measure when it compensates for a lack of segregated duties (Visser & Erasmus 2015:288; Crous 1990:482-483).

The role of management as one of the foundations of internal control is discussed in the section below.

### **3.7.9 Management**

Working towards organisational objectives requires, amongst other provisions, communication of the institution's objectives to all employees and stakeholders, the motivation of employees towards the achievement of the objectives through the implementation of control mechanisms, as well as the provision of standards against which the institutional progress can be appraised. The persons responsible for guiding and directing the employees towards reaching these objectives, are known as the institution's management. In Public Administration, the concept 'management' indeed refers to the uninterrupted and integrated process in which people with authority (managers) ensure that the institutional objectives are reached. Management is, therefore, responsible to assure compliance with legislation by, amongst other responsibilities, maintaining an internal control system and by enforcing the implementation of standard operating procedures (Fourie 2007a:741; Visser & Erasmus 2015:278).

Managers need to maintain an organisational structure that assigns responsibilities to the key departments. They also need to ensure that delegated responsibilities are executed effectively. In accepting responsibility for reaching institutional objectives, improving services and products and preventing irregularities, management on all spheres of government are accountable for the establishment, evaluation and maintenance of an institution's internal control system. Managers are expected to initiate the identification, assess and monitor institutional risks areas because they are accountable for safeguarding its assets and resources. Without management's commitment to set appropriate internal control policies and procedures, to monitor the adequacy and effectiveness of the entire internal control system and to follow through with audit recommendations, internal control mechanisms might be futile (Jiao 2015:150).

Management as a control mechanism is primarily classified as a directive control. An important principle in directive controls is that no activity may move on to the next step before the present step has been completed satisfactorily. This occurs primarily when management approves or authorises tasks or transactions. Effective internal control thus relies profoundly on managers accomplishing the required tasks properly.

However, certain actions, such as the deferral of internal control to expedite matters or excessive delegations, may lower the efficiency of control and pose a danger to effective financial and operational management. In these instances, internal control, specifically management as a directive control, will suffer and staff will most likely assume responsibility for tasks or transactions that should rightly be executed by more senior officials. Despite accentuating management's responsibility to draft, monitor and evaluate an internal control system, each employee must actively contribute towards the successful functioning of a control system by adhering to the implemented control mechanisms (Pickett 2001:162-165; Van der Westhuizen 2016:15,16 & 124).

Key aspects relating to information and communication technology control is addressed in the following section.

### **3.7.10 Information and communications technology**

It is nothing new to control information systems and computer programmes in the public administration working environment. In fact, internal control in the information and communications technology milieu is integral to software development. Transaction approvals, authorisations and the separation of duties are often built into programming requirements before employees utilise the online systems or programmes (Boockholdt & David 1999:603; Tshiyoyo 2017:178 & 182).

Control over information and communications technology has a major effect on the overall reliability of financial statements regardless of the size of the organisation. Relevant role-players (refer to section 3.8 (*Role-players in internal control*)) are required to acquire a general understanding of information technology control as part of their duties. Auditors have to evaluate whether the current information and communications technology controls sufficiently strives towards accomplishing set goals and adequately prevent defective data and financial statements. These controls are primarily split between general controls and application controls. General controls involve circumventing computerised systems, application of password security, specialised control over sensitive data, legitimacy of computer software, access limitations to terminals, maintaining a software inventory as well as control over the use of portable data storage and memory devices. Furthermore, general technology control mechanisms also need to monitor backup procedures, disaster recovery policies and contingency plans with regard to data achieving, data storage and computer hardware. Furthermore, trials or test copies of software should be removed within specified timeframes (Diamond 2016:376). Application controls include the review of automated controls built into information systems and computer programmes. Reviewing both types of technology control mechanisms includes

obtaining an understanding of how transactions are processed. Various input and output controls over data entries, accounts payable and reporting requirements are some examples of areas that need to be reviewed. Potential areas of concern would be, for example, unauthorised access, duplicate posting and mathematical inaccuracies (Boockholdt & David 1999:592 & 603; Dassah 2014:340 & 358).

The revolution in information and communications technology and increased demands for instant online services fuelled the quest for greater accountability and transparency (Im, Cho, Porumbescu & Park 2014:743; Maleka 2016:167 & 170). Moreover, the reduction in the cost of management information systems implied that system amendments could be effected and aligned easily with organisational goals, approved budgets, existing inventories, delegations and legislation. In this way, information and communications technology became a catalyst for policy implementation and as a result, internal control. Surprisingly, auditors and other relevant role-players are also more aware of the effect of information technology on service delivery and public administration (Arwinge 2013:ix & 79). However, challenges, such as information technology skills shortages and inadequate technology infrastructure may easily derail successful implementation of electronic government programmes and policies (Qwabe 2014:197; Tshiyoyo 2017:177-182).

The section on information and communications technology control concluded the description of the most common internal control mechanisms. When reviewing the above-described internal control mechanisms, it is clear that internal control mechanisms generally applied in the public sector can be divided in four groups, that is:

- Group 1: Internal control mechanisms that establish the structure of the institution by setting responsibilities (organisational structure) and ensuring that tasks are split between various individuals to prevent the abuse of power and positions (segregation of duties). Furthermore, the manner in which a task needs to be performed as well as the actions or steps to be taken in succession to complete a task also need to be flawless to ultimately achieve the institution's goals (written policies and procedures).
- Group 2: Detailed control mechanisms embedded in the daily operations of the institution, for example, verifying that assets are safeguarded (physical and mechanical controls), tasks and transactions are legitimate (authorisation and approval) and that the financial and accounting records are correct (financial and accounting controls).
- Group 3: Control over the human resources of an institution covers the recruitment, selection, appointment, training and development (training of staff),

evaluation as well as the compensation of employees, to ensure that all staff are working correctly and effectively (supervision). Management has the responsibility to scrutinise the entire control environment by reviewing information and reports provided to them (management).

- Group 4: Information and communications technology control that ensures integrity and security of information systems stay intact despite a wave of available online systems and computer programmes (information technology and communication controls).

In conclusion, the primary characteristics of internal control mechanisms include: accountability, timeliness, flexibility, cause identification, corrective actions, appropriateness, accuracy, acceptability and objectivity. Although these characteristics seem generic in today's rapid changing environments, it is indeed these that provide a sound foundation for the realisation of the public interest in an effective and economic manner.

The question that arises is 'Who are the primary role-players in managing, implementing and monitoring internal control within an institution?' Although this question has been responded to partially, the following section addresses this question by narrowing down the most influential internal and external role-players in the public sector.

### **3.8 ROLE-PLAYERS IN INTERNAL CONTROL**

Role-players should join forces to ensure that the internal control process is unimpeded and the systems function effectively. As previously stated, all employees in an institution play a significant role to achieve the objectives of an internal control system. Consequently, each individual in an institution is responsible for internal control. Significant internal control role-players include: accounting officers, internal audit committees and audit functions or departments, as well as external role-players, such as the Auditor-General, National Treasury and provincial treasuries. Despite diverse responsibilities, individual role-players find common ground in an independent and objective work ethos characterised by unbiased and impartial task execution.

#### **3.8.1 Accounting officer**

The PFMA of 1999 assigns the responsibility to the accounting officer to report on matters related to financial management and oversee its activities to the departmental heads on the national and provincial spheres of government. Section 36(1) of the PFMA stipulates that every national and provincial department must appoint an

accounting officer. Furthermore, Section 38(a)(i) of the PFMA stipulates that the accounting officer must ensure that the department which he/she manages must implement and maintain an effective, efficient and transparent internal control system. Moreover, Section 38 of the PFMA stipulates that the accounting officer should take effective and appropriate steps to safeguard and maintain the department's resources and assets. This implies that internal control mechanisms, such as physical and mechanical control, training of staff and authorisation and approval must be implemented as means to ensure an effective, efficient and transparent internal control system (Fourie 2007a:736 & 737; PFMA 1999:Section 36(1) & Section 38).

At the local sphere of government, a municipal accounting officer is responsible for managing the financial administration of the municipality. Furthermore, the individual must ensure that the municipality has and maintains an effective, efficient and transparent internal control system (MFMA 2003:Section 62(1)(c)).

Apart from the accounting officer, there are selected officials who are also responsible for the maintenance of internal controls. The accounting officer delegates the powers to the selected officials in writing. Such officials, like public managers and members of an audit committee, must ensure that a system of internal control is implemented effectively and economically within their areas of responsibility (Madue 2007:308; PFMA 1999:Section 45(a)).

As mentioned above, internal control is a regulatory management task that an institution's accounting officer, management and an audit committee oversees. The role of the audit committee is described in more detail in the following section.

### **3.8.2 Audit committee**

With regard to national and provincial government departments, Sections 76(4)(d) and 77 of the PFMA of 1999 as well as the Treasury Regulations of March 2005, explain that each department needs to establish an audit committee. Committee membership is prescribed by Section 77 of the PFMA as well as in Treasury Regulation 27.1.6 stipulates that audit committees should comprise of at least three persons from top management including technical experts, subject to approval by the accounting officer. Essentially, an internal audit committee must perform a monitoring and advisory function to support a department's accounting officer. The aim is to act as a steering committee and identify problems and high-risk areas, as well as suggest corrective action for a wide range of financial and operational activities (PFMA 1999:Section 76(4) & Section 77; Treasury Regulations 2005:Regulations 27.1.6 & 3.1.10).

As mentioned, Section 77 of the PFMA stipulates its member's profile. The audit committee members must work together with the head of the internal audit function to establish a charter to guide the committee's working framework. Notably in successful organisations, a team approach between the audit committee, internal audit function, the accounting officer, senior management and other relevant staff ensures the effective management and implementation of the internal control system. The audit committee thus sets the institution's control environment (Bédard & Gendron 2010:174-177, Fourie 2007a:740). As stipulated in Treasury Regulation 3.1.10, an audit committee's duties and responsibilities include the review of the effectiveness of the institution's internal control system, defining and assessing the audit function's objectives as well as communicating with external auditors (the Auditor-General) to ensure that the institution complies with legal and regulatory provisions. Furthermore, an audit committee has the responsibility to safeguard institutional assets. With regard to reporting on the effectiveness of the institution's internal control system, an audit committee must report to the institution's accounting officer on an annual basis. The audit committee must make recommendations to improve the internal control system, although the accounting officer retains the responsibility for the implementation of such recommendations. Also, the audit committee must, when necessary, communicate any concerns to the relevant treasury and the Auditor-General (Treasury Regulations 2005:Regulation 3.1.15).

Audit committees not only function on the national and provincial spheres of government, but also on the local government sphere. As in the case of national and provincial government departments, accounting officers at local municipalities must approve the audit committees' membership. At local government, audit committees function as independent advisory bodies, and have to advise the municipal council, the political office-bearers, the accounting officer and the management of the municipality on matters related to internal control (MFMA 2003:Section 166).

In the next section, the internal audit function/unit is briefly acknowledged as one of the primary role-players in internal control on national, provincial and local spheres of government.

### **3.8.3 Internal audit function**

Both the PFMA of 1999 and the MFMA of 2003 make provision for the establishment of an internal audit function/unit to assist the accounting officer in the execution of his/her responsibilities. In terms of the provisions of Treasury Regulations 3.2.7 and 3.2.8 of March 2005 enacted in terms of the PFMA, each national and provincial government department must have an independent internal audit function with no

limitation on access to information (Treasury Regulations 2005:Regulations 3.2.7 & 3.2.8). With regard to municipalities, Section 62(1)(c)(ii) of the MFMA states that the accounting officer of a municipality must take all reasonable steps to ensure that the municipality has and maintain an effective, efficient and transparent internal audit function. Also, Section 165 of the MFMA stipulates that each municipality must have an internal audit function that need to, among other responsibilities, advice the accounting officer on matters relating to internal control. Internal audit functions are also compelled to report to the audit committee to allow effective monitoring and intervention when necessary. The internal audit unit must, in consultation with the audit committee and for approval by the audit committee, prepare a strategic internal audit plan as well as a risk management strategy based on the assessment of the institution's high risk areas. Importantly, the purpose, authority and responsibilities of the internal auditors must be defined in these audit and risk management strategies. Internal audit functions monitor key control mechanisms and procedures, undertake investigations on behalf of the audit committee and follow-up on any suspicion of abuse of power or position (Erasmus & Fourie 2014:3 & 4, MFMA 2003:Section 62(1) & Section 165).

Internal auditors who execute the responsibilities of the internal audit function should be experts not only in financial and accounting controls, but also in managing organisational controls, such as organisational structure, segregation of duties and written policies and procedures. In the same way that financial and accounting control mechanisms are established in consonance with generally recognised or accepted accounting practices, so non-financial controls should be established in consonance with generally accepted management principles and practices (Sawyer, *et al.* 2005:116). Hence, the internal audit function provides the accounting officer/head of a department with objective and independent report on the soundness of the internal processes and operations of the institution. The findings and suggestion from the audit function should provide adequate input to management to take corrective action to improve the effectiveness of the organisation's internal control system. As corrective control, an internal audit function suggests corrections to identified problems and errors. Therefore, an internal audit function's responsibility is to provide assurance to management on issues relating to the effectiveness of financial and operational activities, and feedback on its employees performance (Diamond 2016:374 & 375).

In brief, the internal audit function is primarily responsible to verify the correctness of financial, transactional and procedural data by checking whether all executive and operational tasks and activities have been completed in accordance with policy and approved methods and procedures. It was confirmed in this section that an internal audit unit is a specialised function that assists the accounting officer, management



and audit committee to maintain an effective and efficient internal control system. The role of an internal audit function can be summarised as a key factor to ensure that an institution is managed effectively and internal control mechanisms are not limited to financial matters but also applied to operations. Essentially, the internal audit function must ensure that the institution's internal control system, policies and methods and procedures promote the achievement of that institution's goals and objectives (Motubatse, *et al.* 2015:402 & 403).

To this point, the description of the role-players in internal control focused on those persons within an institution. The next two sections present an overview of noticeable external role-players that is, the Auditor-General and the National Treasury and provincial treasuries.

### **3.8.4 Auditor-General**

Public institutions at all spheres of government are legally required to implement public policy and to reach set standards and targets. In supporting public institutions in their pursuit to comply with this requirement, the Auditor-General is appointed in terms of Chapter 9 of the Constitution of 1996 as an independent institution. The Auditor-General is permitted to audit any institution that is sanctioned to receive money for public purposes, and reports to Parliament on the status of financial management and operations of all government departments and municipalities on behalf of the taxpayers. Furthermore, the Auditor-General must submit audit reports to any legislature that has a direct interest in an audit, and to any other authority prescribed by national legislation. Furthermore, all reports must be made public (Constitution 1996:Section 181(1)(e) & 188(1),(2) & (3)).

Over and above the requirements of the Constitution of 1996, the Auditor-General must perform, amongst other duties, the responsibilities specified in the Public Audit Act 25 of 2004. The Public Audit Act 25 of 2004 confirms the constitutional and legal status of the Auditor-General as the supreme audit institution of the Republic of South Africa. In terms of this Act, the Auditor-General or his/her delegate has the right to investigate and inquire about the efficiency and effectiveness of internal control measures and mechanisms as well as management measures relating to the expenditure and revenue of a public institution (Public Audit Act 2004:Section 3; Qwabe 2014:190 & 191; Thornhill 2015:85 & 86).

Audits by the Auditor-General are conducted primarily to provide assurance to Parliament that the audited entities have achieved their financial objectives and managed their affairs according to sound financial practices. The Auditor-General also verifies that satisfactory measures have been implemented to ensure that resources

are utilised effectively, efficiently and economically, and may issue directives on standardised procedures in this regard (Public Audit Act 2004:Section 13(3)(b)).

The Auditor-General plays a significant role in ensuring transparent internal control systems by conducting investigations, and special- and performance audits. However, National Treasury and the nine provincial treasuries also need to be recognised as important role-players to ensure that public institutions function within set internal control regulatory frameworks (Qwabe 2014:190). The National Treasury and provincial treasuries as role-players in internal control is expounded upon in the next section.

### **3.8.5 National Treasury and provincial treasuries**

National Treasury and the provincial treasuries have the authority to investigate the integrity of internal control systems adopted in national and provincial public institutions. The National Treasury is primarily responsible to ensure transparency, accountability and sound financial controls in the management of public finances. National Treasury formulates regulations or issue specific instructions concerning financial management, internal control, audit committees and related internal audit components. The overall mandate of the different provincial treasuries is to promote good governance on financial matters in a relevant province. Principally, the role of a provincial treasury is to ensure that a provincial department's internal control system is aligned to the provincial priorities as well as the principles of *Batho Pele* (PFMA 1999:Chapter 2 & Section 6(2)(e), Section 18(2)(f) & Section 76(4); Constitution 1996:Chapter 13).

With regard to local government, the National Treasury and provincial treasuries may investigate internal control systems by monitoring compliance with the requirements of the MFMA and may recommend improvements to the accounting officer. Thus, both the National Treasury and provincial treasuries have the authority to intervene in local government financial management to ultimately ensure that the internal control systems function optimally and in such a way that set benefits outweigh the cost of implementing and maintaining the systems (MFMA 2003:Section 5).

This concludes the section on the role-players in internal control. Specific role-players within the driving licence testing centre environment will be elaborated on in Chapter 5, section 5.5 (*Driver fitness regulatory institutions*).

Significant aspects which must be considered when monitoring and evaluating an internal control system is discussed in the following concluding section of this chapter.

### **3.9 EVALUATING AN INTERNAL CONTROL SYSTEM**

When evaluating an internal control system, it must first be determined whether the objectives of the control system are consistent with the organisational objectives. Should this be in order, it must be established whether the control system's composition is sound and operational, and it has been designed to ensure compliance with internal or external requirements. Apart from the mentioned tasks, it must also be determined whether the control system is operating as intended and the control mechanisms can accomplish its intended purposes. This analysis includes the attitude of management, organisational structures, personnel, delegations of authority, policies, methods and procedures, budgeting and reporting (Visser & Erasmus 2015:281).

As previously described, one of the primary responsibilities of an internal audit function is to monitor and evaluate the suitability and usefulness of the internal control mechanisms. However, evaluations may also be conducted by external auditors from the office of the Auditor-General. Nonetheless, deficiencies found by either the internal audit function or the Auditor-General should be communicated to the head of the institution or the chief accounting officer. With regard to audits conducted by the Auditor-General, internal control is evaluated against three key areas, namely: leadership, financial and performance management and governance. Appropriate action plans to address internal control deficiencies are assessed with regard to leadership, while daily and monthly reconciliations are reviewed together with financial and performance management. The internal audit unit and the audit committee are evaluated against key areas of governance to determine whether they are adequately resourced and whether they perform their legislated duties and promote accountability and service delivery (Auditor-General 2016(b):Online):

Moreover, the internal and external auditors and the public managers must also monitor the effectiveness of the control mechanisms by evaluating audit findings promptly and deciding on appropriate action in response thereto. Recommendations of how to correct identified deficiencies are generally incorporated in evaluation reports. Included in these reports is a detailed description of system weaknesses and the most suitable approach to these. The areas in which standard operating procedures are excessive and inadequate will also be described. Managers and the accounting officer are expected to correct the identified deficiencies and suggest improvements to the internal control system (Visser & Erasmus 2015:280 & 281).

Organisations have historically relied on manual controls to identify unusual activities and transactions. However, improvements in technology have meaningfully changed

the outlook of monitoring and evaluating internal control systems from an auditor's perspective. With the advent of time, changes in technology encouraged the decentralisation of control in organisations (Maleka 2016:166). As in the case with manual control mechanisms, technology controls support the notion that rigidly enforced compliance with policies and procedures need to be replaced by flexible and innovative control processes that allow the organisation's leadership to focus on optimum effective internal control. Information and communications technology risk areas on which management and the other role-players should focus, include the following (Qwabe 2014:195-198):

- The inadequate design of an information system allows (un)intentional mistakes and restrict the collection of (online) evidence.
- Dense encrypted data makes the review of the entire history of an online transaction almost impossible to the untrained eye.
- A lack of build-in digit checks results in error tolerance concerning inaccurate and unreliable data and processing outputs.
- Unrestricted and unhindered access subject information systems to data manipulation, theft, data and financial loss and often unwanted media attention.
- Insufficient or erroneous authorisations built into a system often result in systems not compliant with approved delegations, legislation, policies and procedures. Online transaction approval processes may subsequently prescribe to legislation to suit software requirements.

Refer to the above section 3.7.10 (*Information and communications technology*) for more information about technology control. Although the aspects highlighted in this section are not exhaustive, they serve as a point of departure when evaluating an internal control system.

The strongest arguments in this section are that an institution's governance structures, such as the accounting officer, management, the internal audit function and the audit committee, are all important drivers behind the monitoring and evaluation of the institution's internal control system. The role of the external auditors should not be overlooked when considering the main drivers to evaluate internal control systems. Furthermore, information and communications technology risk areas cannot be disregarded when an organisation is serious about effective internal control.

### 3.10 SUMMARY

This chapter evaluated the implementation of internal control in eight sections. The first section conceptualised internal control. Internal control is a regulatory management task and is one of the foundations of effective public administration and management. It was further revealed that internal control is an administrative process that seeks to improve an organisation's objectives by ensuring compliance with legislation, promoting reliable reporting and by co-ordinating the effectiveness and efficiency of all operations. An internal control system was subsequently defined as the policies and procedures, as well as the organisational structures and control mechanisms designed and adopted by the management of the organisation to provide reasonable assurance that the organisational aims and objectives will be achieved while preventing, detecting and correcting any adverse events. After defining the concepts 'internal control' and 'internal control system', internal control was described as a process. It was found that internal control as a process comprises a collection of organisational measures and mechanisms that produce assurance that all financial and operational objectives are on track to meet the organisation's objectives.

The second section of this chapter described the changing role of internal control. It was established that the concept internal *control* originated in auditing and has traditionally been regarded as a means to specifically ensure accurate and reliable accounting and bookkeeping. However, internal control evolved over time to include all operational activities and became an autonomous field of expertise in Public Administration.

Theoretical foundations of internal control were explained in the third section. The institutional theory and the systems theory was described in relation to internal control in public institutions. It was concluded that the institutional theory focuses on the legitimacy of institutions, while the systems theory accentuates the effective implementation and utilisation of the elements or subsystems of the control system. A diagram was provided to illustrate a system of internal control. The discussion on the theoretical foundation of internal control was followed by a detailed outline of the internal control regulatory framework in section four. The framework included: Constitution of 1996, Public Financial Management Act 1 of 1999, Treasury Regulations of 2005 for departments, constitutional institutions and trading entities issued in terms of the Public Finance Management Act 1 of 1999, as well as the Municipal Finance Management Act 56 of 2003 and the Public Audit Act 25 of 2004, as the most influential Acts and Regulations on public internal control.

Specific reference was made to the primary components of an internal control system. A lengthy discussion on internal control systems was provided in the fifth section of the chapter. It was revealed that the key components, that is, the control environment, risk assessment, control activities/mechanisms, information and communication, and monitoring, are interrelated and dependent on each other. Features influencing internal control were also elaborated on in this section. The section was concluded with a discussion of the significance of maintaining an internal control system.

Common internal control mechanisms, namely: the organisational structure, segregation of duties, written policies and procedures, physical and mechanical control, authorisation and approval, accounting controls, training of staff, supervision, management as well as information and communications technology, were discussed briefly in the sixth section. These internal control mechanisms will be elaborated on in detail in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*) by expounding upon how these are implemented at the DLTC.

The most noticeable role-players in internal control, namely: accounting officers, internal audit committees, internal audit functions, Auditor-General, National Treasury and provincial treasuries, were described in the seventh section by highlighting their legislated responsibilities. It was revealed that despite diverse responsibilities, the individual role-players find common ground in an independent and objective work ethos characterised by unbiased and impartial task execution.

The chapter concluded with a brief description of the evaluation of an internal control system. This section forms the foundation of how standard operating procedures as an internal control mechanism at the MM DLTC was evaluated in Chapter 6. The research design and methodology is discussed in the following chapter. The structure and scope of DLTCs, specifically the MM DLTC is expounded upon in Chapter 5.

## CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY

### 4.1 INTRODUCTION

The theoretical foundation that was set in the previous two chapters forms the foundation for the research design and methodology that will be discussed in this chapter. With a clear understanding of the nature and scope of the determining and revision of methods and procedures as a generic administrative function, as well as an understanding of what an internal control system requires to be of value to the case study, an appropriate research design and methodology to explore the research problem, namely a lack of contemporary and relevant standard operating procedures impedes the effective issuing of driver licences at the MM DLTC, was selected. This chapter commences with an overview of research philosophy by positioning this study under pragmatic research. The chapter then proceeds with the preferred research design, that is a combination of quantitative and qualitative design – a mixed methods research design. Triangulation to ensure the trustworthiness of the findings and results of this study, is also introduced. Explanatory research is subsequently discussed as the preferred research approach. Exploratory and descriptive research is also addressed. The research methods, namely: literature review, case study, document analysis and empirical research is outlined as the research methodology.

A brief introduction of the target population which comprised participant's well-positioned in the DLTC and licensing environment. Management, supervisors, cashiers, front-line employees and the driver licence examiners were targeted as the respondents to complete the questionnaires; a manager and supervisors were selected for the follow-up interviews. This study acknowledges the participants strategic value and potential contribution to inform and enhance the development and implementation of standard operating procedures and other internal control mechanisms at the MM DLTC. Included in the section that further describes the target population, is a motivation for the utilisation of both the probability and non-probability sampling techniques. The methods to ensure compliance with the principles of validity and reliability is also expounded upon. Furthermore, verification of trustworthiness with reference to credibility, transferability, dependability and confirmability is also discussed. The chapter also describes the structure and content of the questionnaire and the personal interviews as instruments to gather data. A section on data analysis is provided followed by strategies to develop a basic framework for the development of standard operating procedures. Lastly, a discussion of significant ethical considerations concludes the chapter.

An essential step that must be taken into consideration when conducting this empirical study, is to establish the research philosophy. This study, issuing driver licences at the MM DLTC is supported by the underlying research philosophy of pragmatism as described in the following section.

## **4.2 RESEARCH PHILOSOPHY**

Mayoh and Onwuegbuzie (2015:92) as well as Feilzer (2010:7 & 8) posited that a research philosophy deals with the source, nature and development of knowledge, while Morgan and Sklar (2012:70) assert that both ontology (what is believed to be true) and epistemology (what is known to be true), shape a research philosophy. Mayoh and Onwuegbuzie (2015:94) and Howes (2015:2) also confirmed that two major research philosophies have been identified in the Western tradition of science, namely: ontology and epistemology. In brief, ontology is concerned with nature of and relations of being, while epistemology relates to the theory of knowledge, especially with regard to the origin, nature, methods and scope of human knowledge. In other words, a research philosophy is a belief about the best possible way in which data about a researchable phenomenon should be gathered, analysed and utilised. However, when conducting research, a philosophy is rarely deliberately decided on prior to identifying a research problem. A research philosophy is a comprehensive belief of the suitable way to systematically and scientifically explore and analyse a research problem and research questions to reach findings and conclusions about the phenomenon under study.

This study identified the lack of contemporary and relevant standard operating procedures impedes effective issuing of driver licences at the MM DLTC as the research problem. The following research questions were posed:

- What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration?
- What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?
- Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?
- What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?
- What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?



- How can the implementation of standard operating procedures be enhanced at the MM DLTC?
- How to write standard operating procedures to issue driver licences at the MM DLTC?

Pragmatism is derived from the teaching of Charles Sanders Peirce (1839 to 1914), who believed that thoughts and ideas must produce actions, rather than lingering in the mind (Internet Encyclopaedia of Philosophy 2016:Online). The research philosophy for this study was thus influenced by the research questions that were primarily influenced by practical considerations about issuing driver licences at the MM DLTC. A reflection of the research questions in adopting a philosophy that proclaims a hands-on problem solving in public administration that is, a pragmatism research philosophy. The research questions, therefore, reflected the epistemology and ontology that was adopted. Within this context, practical problems experienced at the MM DLTC with the issuing of driver licences could be solved by implementing the recommendations based on the mixed research methods. Refer to Chapter 7, section 7.6 (*Recommendations*) for the detailed recommendations and proposals (Youngs and Piggot-Irvine 2012:188).

Other research philosophies, for example, positivism and interpretivism were also briefly defined. The positivist tradition holds that society, similar to the physical world, operates according to general laws. It advocates that knowledge is based on natural phenomena. A positivist researcher will thus be likely to use a highly structured value-free and quantifiable methodology and statistical analysis to facilitate replication. In contrast to positivism, pragmatists consider practical consequences or real effects to be vital components of research. This study adopted both the quantitative and qualitative research designs because the quantitative research methodology (questionnaires) would neither answer the research questions adequately nor reach the aim and objectives of the study (Jones 2015:4 & 5).

Another well-known philosophy is interpretivism. Interpretivists hold that it is necessary for a researcher to understand humans as social actors. Crucial to the interpretivist philosophy is that the researcher has to adopt an empathetic stance. This underscores the difference between conducting research among people rather than objects. The challenge is to enter the social world of our research subjects and understand their world from their point of view. Most often, interpretivism adopts qualitative research methods and utilises in-depth personal interviews as data collection instruments. An interpretivist perspective is thus appropriate to public administration and management research, particularly in fields such as organisational behaviour and human resource

management within the public sector (Mayoh & Onwuegbuzie 2015:92). Interpretivism focuses on the details of subjective meanings of actions, pragmatism focuses on practical applied research by integrating different perspectives and data gathering instruments to collect and interpret data. Pragmatist epistemology is thus characterised by an emphasis on the significance of the practical applicability of the research findings and proposals (Feilzer 2010:8).

The research design as the overall plan to connect the research problem and research questions to empirical research is described in the following section.

### **4.3 RESEARCH DESIGN**

A research design articulates what the nature of the required data is, what methods and instruments are going to be used to collect data, how data analysis will take place, as well as how it will respond to the research questions (De Vos and Fouché 1998:96; Babbie and Mouton 2006:74). A research design is thus a complete plan and the structure for conducting an empirical study (Van Zyl 2014:397). The definition upheld by Blumberg, Cooper and Schindler (2008:195) revealed that the 'plan' refers to the overall program of the research, while the 'structure' refers to the framework of the research. A research design is, therefore, a blueprint to respond to research questions and achieve research aim and objectives. In the context of this study, research design denotes the plan and structure to systematically organise the study so that the development and implementation of standard operating procedures of issuing drivers licences at the MM DLTC is placed within the Public Administration context. Traditionally, there are two basic research designs utilised to conduct an empirical study, namely: qualitative and quantitative research designs. However, in recent years mixed methods research design gained prominence in social science research as an alternative to solely qualitative and quantitative research designs (Creswell & Plano Clark 2011:xix; Youngs & Piggot-Irvine 2012:184). Although data collection in this study commenced with the quantitative methodology, a qualitative dimension was required to comprehend the problem why the MM DLTC lacks contemporary and relevant standard operating procedures to issue driver licences. Consequently, a mixed methods research design was utilised to gather data to respond to the research questions by comparing and contrasting the data collected through the questionnaire and personal interviews. The selected mixed methods research design is elaborated on in more detail in the following section.

#### **4.3.1 Mixed methods research design**

The research problem deals with the complex concepts of methods and procedures as well as an internal control system for the implementation of standard operating

procedures at operational level, which require mixed or multiple methods to be adequately studied. To solve this study's research problem, a research design was identified to develop standardised methods and procedures to issue driver licences as well as formulate proposals for the effective implementation thereof at the MM DLTC. The mixed methods research design was identified as appropriate as the second research method to enhance the primary research method. Data was initially collected by distributing a questionnaire and follow-up personal interviews were later conducted to clarify issues that were not responded to or unclear from the self-administered questionnaire responses. This conforms to pragmatism, the research philosophy adopted for this study, that appeals to a mixed methods research design (Feilzer 2010:8 & 9; Jones 2015:4).

Mixed methods research leverages on the strengths of qualitative and quantitative research to offset the weaknesses inherent in each approach. Quantitative research designs are designed primarily to gather information in the form of numbers, or responses that can easily be converted into numbers or statistics (McNabb 2008:13; Yin 2010:8). In contrast to quantitative research design, qualitative research design refers to a study that produces non-numerical or textual or descriptive data, and is generally concerned with the interpretation and meanings of opinions, feelings, attitudes and motivations. It provides detailed information about deeply personal or sensitive issues that could not be easily investigated using quantitative measures (Lowe 2007:14; McNabb 2008:3; Wisker 2011:1). Pollitt (2016:66) argues that the strongest research design frequently combine both qualitative and quantitative methods. The underlying philosophy of mixed methods research is that a mixture of qualitative and quantitative research provides a better understanding of a research problem than by using multiple data sources. Data collection is thus not restricted to only one type of data gathering instrument (Creswell & Plano Clark 2011:8,12 & 17).

Due to the magnitude of the nature and scope of the tasks and responsibilities related to issuing driver licences, a solely deductive research approach (a move from a more general approach to a more specific one – in this study, a move from policy directives included in licensing and road traffic legislation, particularly the NRTA of 1996, to specific standard operating procedures to issue driver licences at the MM DLTC) cannot be followed exclusively. Therefore, the deductive research approach (informally referred to as a top-down approach) was complimented by an inductive approach (referred to as a bottom-up approach), that is from the specific to the general. Thus, based on the assumption that the same legal framework regulates the issuing of driver licences at all DLTCs in South Africa, whilst considering provincial legislation, the MM DLTC was utilised as a case to develop standard operating procedures and provide recommendations to DLTCs in South Africa. Whilst deductive and inductive

approaches to research differs, both can be utilised in a complementary manner in mixed methods research design. Interestingly, a similar approach is followed in this study that is, at operational level, policy formulation also takes place in a 'bottom-up' approach when requests for policy or procedural changes are made by the front-line employees at the lower level of management in the department. Reasonably, valid and truthful evidence needs to support such requests to enable management to expedite procedural amendments. The newly adapted procedures will ultimately be enforced as law once approved by management. Furthermore, being able to mix qualitative and quantitative research designs provided an opportunity to triangulate the study. Triangulation in this study included: (1) utilisation of different data sources, namely: the management, supervisors, front-line employees, cashiers and examiners of driving; and (2) multiple methods, both qualitative and quantitative research design (methodological triangulation), to study the research problem. (Refer to section 4.11.1 (*Credibility*) for more detail on triangulation.) The mixed methods research design was considered the preferable research design for this study because it provided a clearer understanding of why the lack of contemporary and relevant standard operating procedures impedes the effective issuing of driver licences at the MM DLTC through both qualitative and quantitative approaches.

The research approach is expounded upon below. The following approaches are discussed in the section: exploratory, descriptive and explanatory research approaches.

#### **4.4 RESEARCH APPROACH**

There are three primary approaches to scientific research, namely: exploratory, descriptive and explanatory (Saunders, Lewis & Thornhill 2016:139-141). These research approaches will be defined in the following sections with reference to its applicability to this study.

##### **4.4.1 Exploratory research**

Exploratory research is appropriate for research projects that address phenomena with high levels of uncertainty and ignorance about the specific research topic or problem. Exploratory research is often undertaken to fill a gap in the literature in areas that are new or under-studied. In certain instances, areas in which the research problems had been responded to inadequately, is also explored. Essentially, exploratory research focuses on new fact-finding research – without any prior expectations. As a general rule, pilot surveys are conducted as a systematic approach to establish the feasibility of performing in-depth studies of a particular phenomenon. In this manner, exploratory research is largely confined to the initial stages of research.

It consequently provides the foundation for further investigation of trending social issues, like governance and public service delivery (Bachman and Schutt 2011:43; Howes 2015:11).

#### **4.4.2 Descriptive research**

The aim of descriptive research is to accurately and comprehensively describe the characteristics of a population or phenomenon being studied with reference to frequencies, averages and other statistical calculations. It is widely used to provide answers to the 'what' and 'where' questions of a quantitative studied phenomenon. Unfortunately, although this study is highly accurate, descriptive research does not answer questions about 'how' and 'why' certain characteristics occurred in qualitative studies. Hence, descriptive research cannot describe what caused a particular situation. This study adopted a mixed methods research design, as explained in section 4.3.1 above (*Mixed methods research design*) (Robson 2002:59; Phophalia 2010:16).

#### **4.4.3 Explanatory research**

In contrast to descriptive research, the aim of explanatory research is to identify the causal links between the factors or variables that pertain to a particular research phenomenon or problem. It attempts to answer the 'how' and 'why' questions by identifying causal factors and connecting different pieces of the studied phenomenon. Explanatory research, is thus research about cause-and-effect relationships, and, as such, is very analytical and structured in nature (Saunders, *et al.* 2016:140 & 141).

This study is largely explanatory research. As indicated in Chapter 1, section 1.3 (*Problem statement and research questions*), this study focuses on the reasons why the issuing of driver licences has been a major challenge at the MM DLTC, by identifying the lack of relevant and contemporary standard operating procedures and malfunctioning internal control mechanisms. For the purpose of this study, the relationship between standard operating procedures, internal control mechanisms and issuing driver licences is as follows. With relevant and precise standard operating procedures to issue driver licences as well as operative internal control mechanisms in place, the MM DLTC is likely to issue driver licences in an effective, efficient and economic manner. A prerequisite for the effective issuing of driver licences and improved service delivery at the MM DLTC, is thus the development and review of methods and procedures to issue driver licences and the effective implementation of internal control mechanisms at operational level.

After selecting the research design and approach, the research methodology was adopted. The following research methodology brought about valid, reliable and trustworthy research findings and practicable proposals of the accountability and methods and procedures to issue driver licences.

## **4.5 RESEARCH METHODOLOGY**

The concept 'research methodology' refers to the methods, strategies, techniques and instruments used to implement the research design. It, therefore, comprises selecting research methods, identifying the research population, selecting sampling techniques and developing instruments to gather data. It also included the data analysis processes and the way in which the research findings were formulated. Essentially, a research methodology provides a research path in which all the aspects regarding a research topic and the related problem are identified and selected, including data gathering, analyses and the interpretation of how things appear to be (Blumberg, *et al.* 2008:56; Babbie and Mouton 2006:104).

The research methodology applied in this study is elaborated upon. The role that the literature review and document analysis played in reaching the research objectives, is highlighted briefly followed by a description of the case study and instruments to gather data.

### **4.5.1 Literature review**

Many studies, as in this instance, is primarily premised on previous research. For this reason, literature reviews are conducted widely by social science scholars to describe the relevant literature in an area of inquiry and to locate current research in a broader field thereof. Literature reviews identify and describe relevant theories, models and approaches which concern a particular topic. A literature review thus establishes justification for current research by identifying knowledge gaps in the area of study (Pollitt 2016:68 & 72).

In this study, key authors, articles, books, concepts and theories were identified to support existing arguments, form new opinions and formulate insights in the areas of inquiry. Key concepts were analysed and the theoretical framework was set to respond to certain research questions. For example, the literature review in Chapter 2, section 2.4 (*Nature and significance of methods and procedures*), and section 2.5 (*Standard operating procedures and public administration*) provided responses to the research question: 'What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration?' The research objectives to conduct a comprehensive theoretical exploration of the nature

and scope of determining and revision of methods and procedures as generic administrative function was achieved in Chapter 2 through critical reading of the relevant literature. In response to Chapter 2, the extended literature review in Chapter 3, section 3.6 (*Internal control system*), and section 3.7 (*Internal control mechanisms*) responded to the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' The research objective to critically review an internal control system and internal control mechanisms that are of value to the MM DLTC, was achieved through extensive review of literature in Chapter 3. The operations at the MM DLTC, section 5.7 (*Driving licence testing centre: Madibeng Municipality*) specifically addressed the research question: 'What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?' The purpose was to achieve the objective of evaluating the purpose, structure and functions of the MM DLTC.

The literature review subsequently formed the foundation on which the basic framework for the development of standard operating procedures was formulated. The literature review also shaped the conceptual framework for data collection and analysis of the case study. The case study method applied in this study is elaborated on in more detail in the following section.

#### **4.5.2 Case study method**

A case study method refers to an in-depth investigation of a research problem in its natural setting or real-life context and can easily be combined with other data collection methods, such as questionnaires, interviews and document analysis (Phophalia 2010:18 & 19). What is interesting is that Pollitt (2016:82-86) argued that a detailed description of a well-researched single case study may be related to other institutions in a similar situation or context. The single case study design followed in this study provided the researcher with an opportunity to conduct a thorough investigation of the development and implementation of methods and procedures to issue driver licences at the Madibeng Municipality.

Generally, single case study designs can be divided into two sub-categories, namely: holistic designs and embedded designs. A single-case (holistic) design focuses on one unit of analysis. For example, if the entire Madibeng Municipality was selected as the unit of analysis, the researcher would have drawn conclusions of the entire Municipality. In contrast to the holistic design, Yin (2012:50) asserted that the single-embedded case study can have more than one unit of analysis. In this instance, attention is paid by the researcher to a specific subunit or subunits within a holistic

case. Using the previous example, the researcher draws conclusions by analysing the DLTC as a subunit within the Municipality.

This study investigated the determining and revision of methods and procedures to issue driver licences at the MM DLTC. A single case study method was utilised. However, different perspectives on the research phenomenon were acquired from the officials, administrative staff, cashiers, as well as middle and senior management. The case study thus allowed the researcher to investigate the research problem from multiple levels. The case study will be described in more detail in Chapter 5. A thorough document analysis was conducted for this purpose. A brief overview of the document analysis follows below.

### **4.5.3 Document analysis**

Document analysis refers to documents, or other communication medium, such as films, videos, and slides and printed records, being studied and analysed for scientific research, and is fundamental to systematically and accurately describe a case (Neuman 2006:44). In this study, primary information was acquired from licensing and road traffic legislation, official policy circulars issued by the national Department of Transport as well as official eNaTIS guidelines provided by the North West Provincial Department of Transport. Other documentary sources included internal memoranda issued by the Madibeng Municipality, instructions circulated by the Inspectorate of Driving Licence Testing Centres, as well as eNaTIS reports and registers were also analysed. Minutes from relevant meetings, eNaTIS newsletters and public speeches also comprised the documents analysed in this study. The document analysis contributed towards Chapter 5 of this thesis, as well as developed a set of standard operating procedures to issue driver licences at the MM DLTC (included in section 5.8) (*Standard operating procedures to issue drivers licences*).

Empirical research is defined in the following section.

### **4.5.4 Empirical research**

Harris and Brown (2010:11) defined empirical research as a research method that involves the use of standardised questionnaires and/or interviews in a systematic manner to gather data about participants and their preferences, thoughts, opinions, perceptions and behaviours. The questionnaires and semi-structured interviews utilised in this study is expounded upon section 4.7 below (*Data gathering instruments*).



The research path of this study is summarised in the following table:

**Table 4.1: Representation of the research path**

<p><b>PURPOSE OF THE STUDY:</b></p> <p>To provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences.</p>		
<p><b>STEP ONE:</b></p> <p><b>General introduction:</b> To provide the rationale for conducting the research (<b>Chapter 1</b>)</p>		
<p><b>STEP TWO:</b></p> <p>Contextualising the nature and scope of the determining and revision of methods and procedures, as well as critically review internal control within the context of public administration</p> <p><b>Method:</b> Systematic literature review</p>		<p><b>STEP THREE:</b></p> <p>Critically analyse the case study</p> <p><b>Method:</b> Systematic literature review and document analysis</p>
<p><b>Objective 1:</b> To conduct a comprehensive literature review of the nature and scope of the determining and revision of methods and procedures as a generic administrative function (<b>Chapter 2</b>)</p>	<p><b>Objective 2:</b> To evaluate the implementation of standard operating procedures as an internal control mechanism by critically reviewing an internal control system and mechanisms of value to the MM DLTC (<b>Chapter 3</b>)</p>	<p><b>Objective 3:</b> To investigate the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC (<b>Chapter 5</b>)</p>
<p><b>STEP FOUR:</b></p> <p><b>Ethics clearance:</b> Ethics clearance approval granted (24 March 2016)</p> <p><b>Research design and methodology:</b> Mixed methods research design (Chapter 4)</p> <p><b>Multi-voiced account:</b> Understanding the lived experiences of both the employees and the management of the MM DLTC with regard to the issuing of drivers licences</p> <p><b>Data gathering instruments:</b> Structured questionnaire and semi-structured personal interviews</p> <p><b>Respondents to questionnaire:</b> Management, supervisors, front-line employees, eNaTIS cashiers, Examiners for driving licences</p> <p><b>Participants in interviews:</b> DLTC management and supervisors</p> <p><b>Approach:</b> Deductive – from broader general perspective to the specific case under study</p>		

<b>STEP FIVE:</b> Research product <b>Method:</b> ADDIE instructional design model and the systems theory		<b>STEP SIX:</b> Data analysis and findings <b>Method of analysis:</b> Statistical Package for the Social Sciences (SPSS) (quantifiable data). Themes identified in transcribed qualitative data		<b>STEP SEVEN:</b> Generating a framework for the development of standard operating procedures for local municipalities <b>Method:</b> Refer to below section 4.9 (Strategies to design a framework for development of standard operating procedures)
<b>Objective 4:</b> Comprises the development of a set of standard operating procedures to issue drivers licences at the MM DLTC (included in <b>Chapter 5</b> )		Analysis, interpretations and findings of data: Questionnaire Follow-up interviews ( <b>Chapter 6</b> )		<b>Contribution of the research:</b> A basic framework for the development of standard operating procedures (included in <b>Chapter 7</b> )

## 4.6 POPULATION AND SAMPLING TECHNIQUES

The research population and sampling techniques applicable to this study is discussed in this section.

### 4.6.1 Population

A research population is the object of research from which samples are taken and consists of individuals, groups, organisations, products and/or events. Instances in which the entire target population is included in the dataset, no sampling is required. The target population (unit of analysis) refers to all the individuals, institutions or items with the features that the researcher wishes to study. After defining the target population, sampling processes start by identifying a sampling frame – that is a list or map that identifies most units within the target population. Thereafter, a sampling technique or strategy needs to be chosen to select participants from the sampling frame (Fox and Bayat 2011:51 & 52).

As mentioned above, this study is based on a mixed methods research design to bridge the gap between utilising quantitative or qualitative research designs exclusively. With regard to the research population and sampling techniques, the qualitative method places primary emphasis on saturation by obtaining a comprehensive understanding of the research phenomena until no new substantive information is acquired, while the quantitative method places the key emphasis on

generalisation by ensuring that the knowledge gained is representative of the population from which the sample was drawn. As a result, each methodology has specific requirements to determine the sample and the number of participants required to achieve its aims.

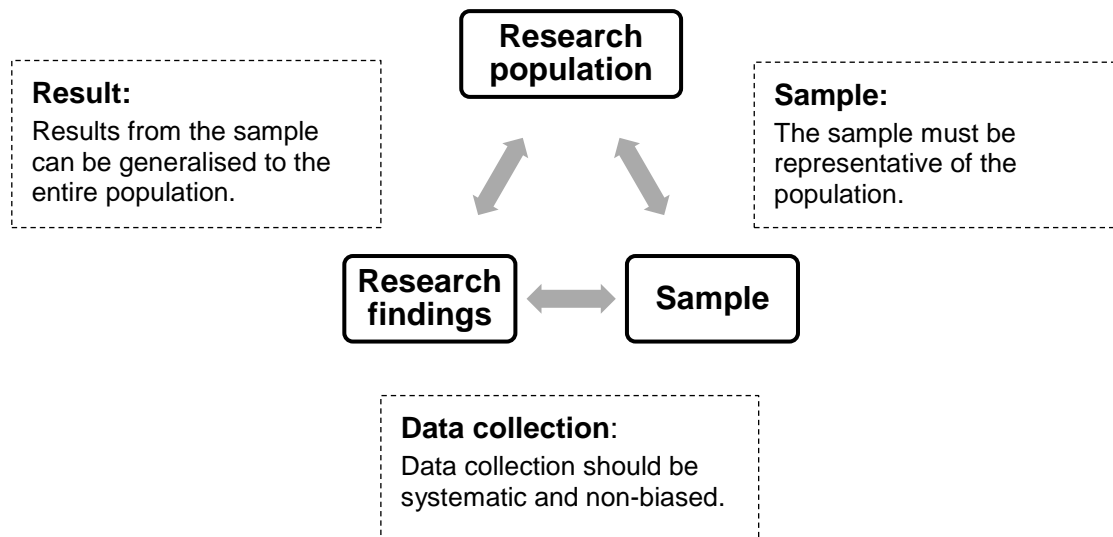
Applying two parallel sampling techniques was considered most appropriate for this study. The research population comprised of employees from different levels within the organisational structure at the MM DLTC, which included: management representatives, DLTC supervisors, front-line employees, eNaTIS cashiers and driver licence examiners. To provide appropriate recommendations, the target population included the middle managers, municipal employees who are responsible for receiving and capturing applications for driver licences on eNaTIS as well as driver licence examiners who test applicants and issue driver licences at the MM DLTC. The site population at the MM DLTC comprised of fifty-six employees, excluding the security guards who do not have any knowledge of the requirements for driver licences. Forty seven DLTC officials completed the questionnaire. The findings of the study was representative of the population involved in issuing driver licences. The population comprised of accurate and invaluable information to explain not only the issuing of driver licences, but also the nature and scope of the determining and revision of methods and procedures as a generic administrative function, as well as how to formulate an internal control system and internal control mechanisms that will be valuable in the licensing and road traffic environment. Additional sampling techniques are discussed in the following section.

#### **4.6.2 Sampling techniques**

Sampling is undertaken because it is impossible to test every single individual in a target population. It is also undertaken to save time, money and effort while conducting the research. As mentioned the previous section, sampling is the statistical process of selecting a subset, referred to as a sample, from the research population to eventually formulate the research findings. When a sample represents the target population, it warrants accurate generalisation of the entire population. Furthermore, when data collection is systematic, non-biased and repeatable, the results from the sample can be generalised to speak for the entire population from which the sample was taken.

The basic inter-relationship between the research population, the sample and the research findings is illustrated in Figure 4.1 below:





**Figure 4.1: Inter-relationship between population, sample and research findings**

**Source:** Explorable.com. 2017. Population Sampling Techniques. (Online) Available at <https://explorable.com/population-sampling> (Accessed 15 February 2017).

As mentioned above, two parallel sampling techniques were used to research a specific characteristic of the site population (Kinsey, Hyman, Sheatsley, Hobbs, Lambert, Pastore, Tukey 1955:811-821). In this study, non-probability sampling was utilised to select interviewees to deliberately select a smaller sample whereas a larger sample which responded to the questionnaire was identified through probability sampling. Probability sampling was thus used parallel with non-probability sampling to select the best knowledgeable and experienced individuals to provide expert opinions of the ways in which methods and procedures to issue driver licences can be determined and reviewed at the MM DLTC. The manner in which these two sampling techniques were applied, is highlighted briefly after a concise overview of the origin of parallel sampling.

The idea of using parallel sampling techniques can be traced back to the work of the statisticians William Cochran, John Tukey and Frederic Mosteller in 1954. In a review of the methodology of the Kinsey Report of 1948 and after acknowledging that, at times, it is difficult to interview large number of participants through probability sampling, they proposed parallel sampling techniques. Kinsey, *et al.* (1955:811-821) posited that since it would not have been feasible to consider a large sample on a probability basis, a reasonable probability sample would be a small one. The purpose of the smaller sample would be to serve as a check on the larger sample.

#### **4.6.2.1 Non-probability sampling**

Non-probability sampling (also known as purposive sampling) requires the researcher to judge and select those individuals who know the most about the research phenomenon, and who are able to articulate and explain nuances. In this type of sampling, members of the population do not have an equal chance of being selected. However, due to this, it is not safe to assume that the sample fully represents the target population. To mitigate this risk, the researcher selected knowledgeable participants who issue driver licenses at the MM DLTC and knowledgeable participants from the Madibeng Municipality who implement standard operating procedures and internal control mechanisms. This process was followed, to acquire valuable data and adequate responses to the research questions. Information-rich individuals were thus sought for the most effective use of limited resources. The security guards at the entrances of the DLTC were excluded from the sample because they do not have the required knowledge to issue driver licences (Brink, Van der Walt & Van Rensburg 2009:132).

With regard to the inclusion and exclusion criteria, the participants had to be older than 18, but younger than 65 years of age. The participants also had to have a minimum of six months relevant experience in the licensing and road traffic environment. However, there are situations under which sample designs other than probability or random sampling, such as non-probability sampling, may be considered a better option.

#### **4.6.2.2 Probability sampling**

Probability sampling (also known as random sampling) allows every individual of the research population to have an equal opportunity of inclusion in the sample. Probability sampling is used to ensure the generalisability of the findings to the entire target population by minimising the potential for bias in selection. It is a raffle method in which individuals are selected from the entire target population. Individuals are selected through blind chance alone, and not intentionally. When the sample is selected randomly, it will have the same composition and characteristics as the research population. Another significant aspect raised by Prinsloo and Hanyane (2016:189), is that the margin of error (or confidence intervals, or the deviation between the opinions of your participants and the opinion of the entire population) can be estimated with certainty when resorting to probability sampling.

The sample was designed such that four (4) participants were identified for the follow-up personal interviews. This sample comprised of the management representative and three well-experienced supervisors at the MM DLTC. Managers and supervisors were selected because they are strategically positioned as heads of the MM DLTC, provide

informed opinions of the challenges that DLTCs and specifically the MM DLTC is faced with. The sample selected by purposive sampling, the participants had be older than 18 but younger than 65 years of age. The participant also had to have a minimum of six months relevant experience. Ultimately, the number of participants was determined in accordance with the criterion of saturation of information. As mentioned above, this is the point in the study according to which the researcher hears the same information repeatedly (Youngs & Piggot-Irvine 2012:196). For the purpose of this study, the selected sample provided perceptive information that was cautiously analysed and interpreted in Chapter 6, section 6.5 (*Analysis, interpretations and findings of qualitative data: Follow-up interviews*).

It was implicit in the above brief discussion of the preferred sampling techniques that probability sampling was utilised as part of the quantitative research in this study, and the non-probability sampling technique was optimised in the qualitative research design. The participants (in groups) in this study, included the site population, sample size and sampling technique, which is summarised in the following table:

**Table 4.2: Selected target population, sample size and sampling techniques**

MM DLTC AT THE LOCAL SPHERE OF GOVERNMENT			
DATA COLLECTION INSTRUMENT	POPULATION	SAMPLE SIZE	SAMPLING TECHNIQUE
Structured questionnaire	56 employees of the Driving Licence Testing Centre	56 respondents	Probability sampling (entire site, excluding security guards)
Personal interviews	1 management representative 3 supervisors	4 participants	Non-probability sampling

The data gathering instruments utilised to generate the primary data for this study is elaborated on in the following section.

## 4.7 DATA GATHERING INSTRUMENTS

Data collection instruments refer to the research tools that a researcher use to collect data to answer the research questions. As mentioned throughout this chapter, this study used four data collection instruments, namely: literature review, document analysis, structured questionnaires and semi-structured personal interviews. The interview questions were designed per occupational category that is, manager or supervisor. Two sets of interview questions and one questionnaire was developed.

The interview schedules were developed after analysing the responses to the questionnaire and identifying matters that needed further clarification.

It is important at this stage of the study to confirm that before distributing and administering the questionnaire and conducting the follow-up personal interviews, approval was sought from the Madibeng Municipality, which was granted (see Appendix B). Hereafter, informed consent was sought from the participants to participate in the study. All the participants were handed a participant information leaflet as well as an informed consent form to complete and sign. Refer to section 4.12 below (*Ethical considerations*) for more detail about ethics clearance and ethical compliance.

The structure and content of the questionnaire and the personal interviews will now be discussed in detail.

#### **4.7.1 Questionnaire**

Questionnaires as quantitative data collection instruments generally comprise of closed-ended questions or statements for a response or completed in writing in a standardised manner. Questionnaires are considered less liable to researcher bias and subjectivity than personal interviews due to the absence of the researcher when the respondents answer the questions (Prinsloo & Hanyane 2016:189). The questionnaires were completed by the respondents without the involvement of the researcher. Consequently, the respondents felt at ease to respond to questions which they might have been reluctant to respond to in a personal interview.

The respondents were able to complete the self-administered questionnaire at their own convenience at their respective workplaces. Furthermore, the respondents completed the questionnaire with the assurance that anonymity is guaranteed and their answers would be kept confidential. Consequently, none of the respondents could be connected to the responses provided. Furthermore, the gathered information would be treated in the strictest confidentiality and utilised only for research purposes. Due to the limited small number of respondents, the questionnaires were administered by the researcher without assistance of field-workers. However, the management representative of the DLTC played a significant role in informing the respondents about the aim of the study and the researcher was introduced to the employees. However, the self-administered questionnaire had an inherent limitation. The primary limitation was that it tended to de-contextualise human behaviour by removing the event from its real world setting and ignored the effects of variables that have not been included in the questions (Prinsloo & Hanyane, 2016:189, 190). As measures to mitigate the risk of isolating the respondents' behaviour from their working environment, different

Likert scales, for example, agree/disagree –, importance –, complexity –, frequency – and quality were utilised in the questionnaire. The questionnaire was piloted.

#### **4.7.1.1 Pre-testing of questionnaire**

The questionnaire was piloted among five respondents (academics within the discipline Public Administration, an expert in the DLTC and licensing environment, a respondent from the target population as well as a statistician) prior to actual data collection. Except for one respondent from the target population, the other respondents in pre-testing did not participate in the actual study. The pre-tested findings revealed that the questionnaire was well-developed, except for a few shortcomings in terms of ambiguous concepts. These items were modified to suit the target population level of communication. The design and layout of the questionnaires as well as the theoretical foundation thereof is described in the following section.

#### **4.7.1.2 Questionnaire design and layout**

To acquire accurate results, the respondents were given detailed and clear instructions of how to complete the questionnaire. The average time to complete the questionnaire was 30 minutes. The questionnaire was structured as follows:

- Developed in a user-friendly style by grouping similar questions together.
- Each section provided a clear explanation of what it entails and how it should be answered.
- Comprised of six sections A, B, C, D, E and F.
- **Section A** of the questionnaire comprised of the biographical information followed by topic-related questions:
  - **Section B** comprised of five close-ended questions based on the topic: *Use and significance of standard operating procedures.*
  - **Section C** comprised of five close-ended questions based on the topic: *Components of an internal control system.*
  - **Section D** comprised of five close-ended questions based on the topic: *Challenges towards the implementation of standard operating procedures.*
  - **Section E** comprised of five close-ended questions based on the topic: *Improving the implementation of procedures and internal control mechanisms.*
  - **Section F** comprised of five close-ended questions based on the topic: *Writing standard operating procedures.*



The Likert scale technique as described by Prinsloo and Hanyane (2016:197 & 198) was utilised as a scaling model in sections B to F. The research objectives, research questions and the literature review in Chapters 2 and 3 was utilised to formulate the questionnaires. Refer below to Table 4.9 (*Framework for data gathering*) for more information. Each of the sections of the questionnaires is expounded upon below.

## Section A

**Section A** dealt with the respondent's biographical information and comprised of closed-ended questions. The respondents were asked to provide general information about their gender, age, years of employment and occupational category, as illustrated below:

**Table 4.3: Questionnaire, Section A – Biographical information**

<b>Question A1: Gender</b>	
Female	
Male	
<b>Question A2: Please indicate your age group</b>	
20 – 29	
30 – 39	
40 – 49	
50 – 59	
60 – 65	
<b>Question A3: How long have you been employed at the MM DLTC?</b>	
0 – 5 years	
6 – 10 years	
11 – 15 years	
16 – 21 years	
22 years and more	
<b>Question A4: Please indicate your occupational category</b>	
Management representatives	
DLTC supervisors	
DLTC front-line employees	
eNaTIS cashiers	
Examiners for driving licences	

Although information based on age and gender is considered sensitive by the Protection of Personal Information Act (2013:Section 26), it is deemed significant to create a holistic illustration of the phenomenon under study.

## Section B

Section B focused on the significance of determining and revision of methods and procedures in the DLTC environment. This section of the questionnaire was aimed at a response for the research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' The respondents were requested to indicate whether they agree or disagree with the uses and practices of standard operating procedures at the MM DLTC. The statements addressed to the respondents focused on aspects, such as standard operating procedures ensure consistency in the actions and behaviour of public officials in the accomplishment of a task, promote better utilisation of resources, improve work flow and increase productivity. The respondents' reactions towards the statement that standard operating procedures ensure that everyone work together as a team to achieve an objective was also sought.

The Likert-type scale used in Section B of the questionnaires is displayed in the following Table 4.4:

**Table 4.4: Questionnaire, Section B – Agree/Disagree Likert scale**

<b>SECTION B: AGREE/DISAGREE LIKERT SCALE</b>				
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly disagree	Disagree	Neutral	Agree	Strongly agree

The interpretation of the results of the data from Section B of the questionnaire contributed towards reaching the first research objective of this study that is, to conduct a comprehensive exploration of the nature and scope of the determining and revision of methods and procedures as generic administrative function. Proposals for the determining and review of standard operating procedures at the MM DLTC could be made based on the theoretical background provided in Chapter 2 as well as the findings of Section B of the questionnaire.

## Section C

The quality of the existing internal control system at the MM DLTC is critically reviewed. The components include: (1) control environment that comprises the

standards, processes and structures that top management implemented for the implementation of internal control; (2) risk assessment and risk management; (3) control mechanisms that refer to structures, policies and procedures that ensure management's directives are executed; (4) information and communication; and (5) monitoring as a management activity to assess the performance of the internal control systems over time. Section C was utilised to determine the perceived quality of the existing components required to design an internal control system and mechanisms.

The respondents were encouraged to consider whether the components fit the purpose and conforms to requirements and minimum standards when selecting their choices. The Likert-type scale utilised in Section C of the questionnaire is illustrated in the following table. The options 'Quality is very poor' and 'Quality is poor' implies that the quality of the control mechanisms is poor.

The Likert-type scale utilised in Section C of the questionnaires is illustrated in the following Table 4.5:

**Table 4.5: Questionnaire, Section C – Quality Likert scale**

<b>SECTION C: QUALITY LIKERT SCALE</b>				
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Quality is very poor	Quality is poor	Quality is acceptable	Quality is good	Quality is very good

The second objective of the study was to critically review an internal control system and mechanisms that are of value to the MM DLTC. This was partly achieved by interpreting the results of the data received in response to the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' The theoretical foundation of internal control provided in section 3.6 (*Internal control system*) of Chapter 3, also addressed this research question.

## **Section D**

Section D required the respondents to rate the primary challenges or barriers towards the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC by indicating how frequently the following features influence the implementation of internal control mechanisms:

- Rigid and unyielding supervision.
- Lack of understanding objectives that should be met.

- Unrealistic expectations set by management.
- Deliberate attempts to obstruct or prevent accountability.
- Resistance to implement standard operating procedures.

The Likert-type scale utilised in Section D of the questionnaires is illustrated in the following Table 4.6:

**Table 4.6: Questionnaire, Section D – Frequency Likert scale**

<b>SECTION D: FREQUENCY LIKERT SCALE</b>				
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Never	Very rarely	Occasionally	Frequently	Very frequently

The overall purpose of this section was to critically review the implementation of internal control mechanisms (including standard operating procedures) at the MM DLTC. As in the previous section, Section D also contributed towards reviewing an internal control system and mechanisms for the MM DLTC. Responses were sought to the research question: ‘What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?’

## **Section E**

Section E comprised of statements seeking to assess the respondents’ general understanding of the complexity of improving the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC. The respondents had to consider the complexity of the resources and time needed to improve existing procedures by rating the difficulty level of essential tasks, such as comparing actual performances with set objectives in legislation and policies, evaluating internal control against the key areas, leadership, financial and performance management, as well as requesting feedback on newly accepted procedures. Furthermore, the responses relating to the complexity of resources and time needed to correct identified deficiencies was also sought. The resources included institutional governance structures, such as the accounting officer, management, internal audit function and audit committee.

The Likert-type scale used in Section E of the questionnaires is illustrated in the Table 4.7 below:

**Table 4.7: Questionnaire, Section E – Complexity Likert scale**

<b>SECTION E: COMPLEXITY LIKERT SCALE</b>				
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Not complex at all	Of little complexity	Moderately complex	Very complex	Extremely complex

The aim of this section was a response to the aim of this study to provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences. Aspects such as resources and time was considered for optimum results. The research question: ‘How can the implementation of standard operating procedures be enhanced at the MM DLTC?’ was addressed.

## **Section F**

The fourth objective of the study to develop a set of standard operating procedures to issue driver licences at the MM DLTC was partially achieved through the interpretation of the results from the gathered data. The respondents had to indicate the significance of certain elements and processes for consideration when writing standard operating procedures. These features and documents range from existing as well as new methods of performing tasks, work flow, organisational structure, necessary equipment and time necessary to perform specific steps to complete a task. The significance of collaborative work and co-operative processes was also listed as an option. Furthermore, the respondents were also requested to rate the significance of following a thorough approval process when developing standard operating procedures. The overall purpose of this section was to determine how significant specific steps/requirements are when writing standard operating procedures for DLTCs. Section F of the questionnaires was aimed directly at drafting standard operating procedures to issue driver licences at the MM DLTC.

The Likert-type scale utilised in Section F of the questionnaires is illustrated in the following Table 4.8:

**Table 4.8: Questionnaire, Section F – Significant Likert scale**

<b>SECTION F: SIGNIFICANT LIKERT SCALE</b>				
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Not important at all	Of little importance	Somewhat important	Very important	Extremely important

Against the aforementioned, the purpose of Section F of the questionnaire became clear that the research question: ‘How to write standard operating procedures to issue driver licences at the MM DLTC?’ was responded to by posting the selected elements and documents for consideration when drafting standard operating procedures to the respondents.

After the questionnaires were designed and administered, follow-up personal interviews were required to reach meaningful conclusions. The personal interviews conducted in this study is briefly described in the following section.

#### **4.7.2 Personal interviews**

Personal interviews or face-to-face interviews is a personalised form of data collection in which the interviewer (researcher) personally asks the participants questions and records their verbal responses (Wilkinson & Birmingham 2003:43). In this study, semi-structured personal interviews were utilised as one of the primary data collection methods. The interviews were conducted to gather additional detailed information than what was provided in the questionnaires. Data collection thus advanced from the limited quantitative information to include qualitative data through follow-up interviews. This approach conforms to the pragmatist philosophy that supports progressive research approaches (Saunders, *et al.* 2016:109). The main reason for selecting personal interviews as follow-up data gathering instrument was that it is flexible and permits immediate clarification of unclear issues and to observe the interviewees’ feelings and/or reactions toward the questions (Pollitt 2016:81 & 82).

During the interviews, the only risk was one of potential discomfort to the participants because the process is traditionally perceived as an interrogation. To mitigate any inconvenience, it was underscored that the study was specifically for academic purposes and they could withdraw at any stage of the interview. Conducting the follow-up interviews was low risk with the prospect of direct benefits for the participants in terms of proposals of how to develop and review standard operating methods and procedures to issue driver licences. However, conducting interviews was time-consuming in terms of gaining access to the institution and participants, selecting and

interviewing the participants, taking detailed field-notes and scrutiny for accuracy. The interviews lasted approximately 40 to 50 minutes each at the Centre and at a time convenient to the participants. Each interview commenced with demographic questions of the participants age and occupational category. This information is deemed significant to create a holistic illustration of the research phenomenon. (Refer to Chapter 6, section 6.3 (*Demographic profile of respondents to questionnaire*) and section 6.5.1 (*Demographic profile of participants interviewed*) for the demographic data.) The interviews then proceeded to gather data of the problem that a lack of standard operating procedures and non-functioning internal control mechanisms impedes effective issuing of driver licences at the MM DLTC, by posing the following main interview questions:

- ***“Please elaborate on the significance and advantages of utilising standard operating procedures at the DLTC.”***

This question was used as a follow-up to Section B of the questionnaire. Additional information was requested of the different uses of standard operating procedures. The question was constructed open-ended to prompt impassive response of the uses as well as the significance of having methods and procedures and standard operating procedures at the MM DLTC. Reference to the significance of having implemented procedures opened the way for probable advantages and disadvantages, as well as various types of procedures. This interview question related to the research question: ‘What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?’ It was constructed with the idea that methods and procedures form an integral part of any public institution’s activities at operational level. The fact that standard operating procedures aim to ensure compliance with legislation through coordinated actions also contributed towards posing the question.

- ***“Please elaborate on the implemented internal control mechanisms at the DLTC.”***

This question compliments Section C of the questionnaire. The participants were requested to elaborate further on the range of and the effectiveness of the internal control mechanisms at the MM DLTC. The research question: ‘Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?’ was addressed. The question enabled interrogation of developing and maintaining an internal control system that is of value to the licensing and road traffic environment. The question was directly aimed at identifying feasible internal control mechanisms for the MM DLTC.

- ***“Would you say that there is resistance towards the implementation of standard operating procedures at the DLTC, and if so, please elaborate on the reasons?”***

By posting the questions about the challenges and barriers towards the development and implementation of standard operating procedures at the MM DLTC, latest information was gathered from the officials who work with issuing driver licences. Since these interview questions relate to the research question: ‘What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?’; suggestions of how to surpass barriers at the MM DLTC was collected, and relevant proposals could be made. Moreover, these questions compliment Section D of the questionnaire because it serves as building blocks to reach the objective, that is, to critically review an internal control system and mechanisms that is of value to the MM DLTC.

- ***“How would you improve the feedback process of the current standard operating procedures at the Centre, specifically feedback from examiners for driver licences?”***

This question was formulated intentionally to gather a wide array of responses and interpretations to respond to the research question: ‘How can the implementation of standard operating procedures be enhanced at the MM DLTC?’ The interview question gathered the perceptions held by the participants of why the MM DLTC does not evaluate and maintain its standard operating procedures to issue driver licences on a regular basis. This question was based on Section E of the questionnaire because more innovative and modern approaches to improve the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC were sought.

- ***“How would you manage the writing and implementation of new and innovative ways of performing routine tasks at the Centre?”***

The question of how the participants would write standard operating procedures for the MM DLTC placed emphasis on their own personal perspective of the minimum requirements required to determine standard operating procedures of value to the DLTC environment. This question directly addressed the research question: ‘How to write standard operating procedures to issue driver licences at the MM DLTC?’ and placed the onus on the individual to elaborate on the steps to be followed when drafting standard operating procedures, and provide relevant suggestions. Furthermore, this question compliments Section F of the questionnaire. The question thus created a deeper understanding of how an employee that is directly involved in issuing driver licences would go about developing relevant methods and procedures. The response to the question



resulted in the improvement of the research product, namely: a set of standard operating procedures to issue driver licences.

Further supplementary questions were added to compliment the above main interview questions, as described in Chapter 6, section 6.5 (*Analysis, interpretations and findings of qualitative data: Follow-up interviews*).

The framework for the questionnaires and the interview questions is summarised in the following table. Although the framework informed the design and contents of the questionnaires and interview questions, the responses were not limited thereto and the participants were encouraged to elaborate on their answers.

**Table 4.9: Framework for data gathering**

SECTION IN QUESTIONNAIRE	INTERVIEW QUESTIONS		RESEARCH AIM/ OBJECTIVE	RESEARCH QUESTION	SECTION IN LITERATURE REVIEW
	MANGEMENT	SUPERVISORS			
<b>B. Use and significance of standard operating procedures.</b>	<ol style="list-style-type: none"> <li>1. Please elaborate on the significance and advantages of utilising standard operating procedures at the DLTC.</li> <li>2. Why is teamwork promoted through the implementation of standard operating procedures, while standard operating procedures does not significantly affect the behaviour of individual staff members?</li> </ol>	<ol style="list-style-type: none"> <li>1. Are you convinced that standard operating procedures can be utilised to increase productivity and if so, please explain how you would go about using the procedures to improve the workflow at the DLTC?</li> </ol>	<b>Objective one:</b> To conduct a comprehensive theoretical exploration of the nature and scope of the determining and revision of methods and procedures as generic administrative function.	What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?	<b>Chapter 1,</b> <ul style="list-style-type: none"> <li>• Section 1.2 (<i>Rationale for conducting the research</i>)</li> </ul> <b>Chapter 2,</b> <ul style="list-style-type: none"> <li>• Section 2.2.3 (<i>Legal perspective</i>)</li> <li>• Section 2.3.1 (<i>Theory of scientific management</i>)</li> <li>• Section 2.4.4 (<i>Advantages and disadvantages of methods and procedures</i>)</li> <li>• Section 2.5.3 (<i>Benefits of standard operating procedures</i>)</li> </ul> <b>Chapter 5,</b> <ul style="list-style-type: none"> <li>• Section 5.7.3 (<i>Methods and procedures for driver fitness</i>)</li> </ul>
<b>C. Components of an internal control system.</b>	<ol style="list-style-type: none"> <li>3. Please elaborate on the implemented internal control mechanisms at the DLTC.</li> <li>4. Please explain how monitoring and evaluation is undertaken to assess the internal control system at the Centre.</li> </ol>	<ol style="list-style-type: none"> <li>2. Please elaborate on the quality of the guidelines for the implementation of internal control at the DLTC.</li> <li>3. Is there reference to policy documents/ records in the standard operating procedures? If not, is there a need to include a list of the relevant policy documents in</li> </ol>	<b>Objective two:</b> To critically review an internal control system and internal control mechanisms that are of value to the MM DLTC.	Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?	<b>Chapter 3,</b> <ul style="list-style-type: none"> <li>• Section 3.2.2 (<i>Internal control system defined</i>)</li> <li>• Section 3.6.1 (<i>Components of an internal control system</i>)</li> <li>• Section 3.6.1.1 (<i>Control environment</i>)</li> <li>• Section 3.6.1.2 (<i>Risk assessment</i>)</li> <li>• Section 3.6.1.3 (<i>Control mechanisms</i>)</li> <li>• Section 3.6.1.4 (<i>Information and communication</i>)</li> <li>• Section 3.6.1.5 (<i>Monitoring</i>)</li> <li>• Section 3.7 (<i>Internal control mechanisms</i>)</li> </ul>

SECTION IN QUESTIONNAIRE	INTERVIEW QUESTIONS		RESEARCH AIM/ OBJECTIVE	RESEARCH QUESTION	SECTION IN LITERATURE REVIEW
	MANGEMENT	SUPERVISORS			
		standardised procedures?			<b>Chapter 5,</b> <ul style="list-style-type: none"> <li>Section 5.7.4 (<i>Internal control mechanisms at the MM DLTC</i>)</li> <li>Section 5.7.4.10 (<i>Information and communications technology: eNaTIS</i>)</li> </ul>
<b>D. Challenges towards the implementation of standard operating procedures.</b>	5 It seems from the responses to the questionnaire that the employees do not understand the objectives of the Centre. Do you agree with this finding?  6. Would you say that there is resistance towards the implementation of standard operating procedures at the DLTC, and if so, please elaborate on the reasons?	4. How do you fulfil your role as supervisor at the MM DLTC?	<b>Objective two:</b> To critically review an internal control system and internal control mechanisms that are of value to the MM DLTC.	What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?	<b>Chapter 2,</b> <ul style="list-style-type: none"> <li>Section 2.2.2 (<i>Institutional perspective</i>)</li> <li>Section 2.4 (<i>The nature and significance of methods and procedures</i>)</li> <li>Section 2.4.5 (<i>Circumstances that necessitate methods and procedures</i>)</li> </ul> <b>Chapter 3,</b> <ul style="list-style-type: none"> <li>Section 3.6 (<i>Internal control system</i>)</li> <li>Section 3.7 (<i>Internal control mechanisms</i>)</li> </ul> <b>Chapter 5,</b> <ul style="list-style-type: none"> <li>Section 5.7.4.8 (<i>Supervision</i>)</li> </ul>
<b>E. Improving the implementation of procedures and internal control mechanisms.</b>	7. How would you improve the feedback process of the current standard operating procedures at the Centre, specifically feedback from examiners for driver licences?	5. How would you improve the implementation of standard operating procedures and other internal control mechanisms at the DLTC?	<b>Main aim of research:</b> To provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences.	How can the implementation of standard operating procedures be enhanced at the MM DLTC?	<b>Chapter 1,</b> <ul style="list-style-type: none"> <li>Section 1.6.4.3 (<i>Implementing control mechanisms</i>)</li> </ul> <b>Chapter 2,</b> <ul style="list-style-type: none"> <li>Section 2.6 (<i>General guidelines for development of standard operating procedures</i>)</li> </ul> <b>Chapter 3,</b> <ul style="list-style-type: none"> <li>Section 3.2 (<i>Conceptualising internal control</i>)</li> <li>Section 3.6 (<i>Internal control system</i>)</li> </ul>

SECTION IN QUESTIONNAIRE	INTERVIEW QUESTIONS		RESEARCH AIM/ OBJECTIVE	RESEARCH QUESTION	SECTION IN LITERATURE REVIEW
	MANGEMENT	SUPERVISORS			
					<ul style="list-style-type: none"> <li>• Section 3.7.3 (<i>Written policies and procedures</i>)</li> <li>• Section 3.9 (<i>Evaluating an internal control system</i>)</li> </ul> <b>Chapter 5,</b> <ul style="list-style-type: none"> <li>• Section 5.7.4 (<i>Internal control mechanisms at the MM DLTC</i>)</li> </ul>
<b>F. Writing standard operating procedures.</b>	8. How would you manage the writing and implementation of new and innovative ways of performing routine tasks at the Centre?	6. Would it be possible to introduce and implement new and innovative ways of performing routine tasks at the Centre?	<b>Objective four:</b> Objective four comprises the development of a set of standard operating procedures to issue driver licences at the MM DLTC.	How to write standard operating procedures to issue driver licences at the MM DLTC?	<b>Chapter 1,</b> <ul style="list-style-type: none"> <li>• Section 1.6.4.1 (<i>Policy-making</i>)</li> </ul> <b>Chapter 2,</b> <ul style="list-style-type: none"> <li>• Section 2.5 (<i>Standard operating procedures and public administration</i>)</li> <li>• Section 2.6 (<i>General guidelines for development of standard operating procedures</i>)</li> </ul> <b>Chapter 5,</b> <ul style="list-style-type: none"> <li>• Section 5.4.6 (<i>Minimum requirements for DLTCs (2000 – 2009)</i>)</li> <li>• Section 5.6.1 (<i>Grading of driving licence testing centres</i>)</li> <li>• Section 5.7.4.3 (<i>Written policies and procedures</i>)</li> <li>• Section 5.7.4.9 (<i>Management</i>)</li> </ul>

Research objective three of the study, namely: to investigate the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC, is not included in the table above because it was fully achieved in Chapter 5 (*Functioning of the Driving Licence Testing Centre: Madibeng Municipality*).

The above table highlighted the relationship between the sections of the questionnaires, interview questions, research aim and objectives, research questions and the theoretical framework. Although the contents of Chapters 2 and 3 form the theoretical foundation of the questionnaires and the interview questions, specific sections were highlighted for easy reference.

After the data was collected, a number of tasks were completed in readiness for data presentation and analysis, such as data editing, coding, data entry and data cleaning. The data analysis techniques is discussed in the following section.

## **4.8 DATA ANALYSIS CYCLE AND PROCESSES**

Data analysis is the process of transforming raw data to constructive information that can be used to support decisions, predict outcomes and formulate conclusions. Data analysis is thus the process of converting raw data into usable information (Harris & Brown 2010:2; Archibald 2016:239). Due to the mixed methods research design adopted in this study, two techniques of data analysis had to be used: quantitative data analysis for the data collected through the questionnaires and qualitative data analysis for the data collected from the personal interviews.

### **4.8.1 Quantitative data analysis cycle**

With regard to the quantitative data, it was cleaned, analysed and interpreted after the data collection procedure. The Statistical Package for the Social Sciences (SPSS) computer software programme was utilised to analyse the data. The researcher received extensive training from an appropriately qualified statistician on how to use the SPSS programme and how to interpret the relevant graphs and reports. Data interpretation was conducted using descriptive statistical analysis and inferential statistical analysis. Descriptive statistics that included the sample size, mean and a range of scores, allowed the researcher to describe and summarise the data, while inferential statistics enabled the estimation of population characteristics from the sample characteristics. Overall, the quantitative data analysis process suggested by Gerber & Hall (2013:12) was followed, commencing with the importing of the dataset into the SPSS computer programme, after which the dataset was cleaned and variables verified. The variables were then provided with value labels to calculate the

descriptive statistics. The demographical variables of the population is presented graphically through tables, pie and bar charts in Chapter 6.

Descriptive statistics was utilised to summarise the gathered data as recommended by Saunders, *et al.* (2016:351) and Welman, Kruger and Mitchell (2005:231). The frequency tables as extracted from the SPSS programme provided the number of respondents and the percentages for each of the categories for the variable under consideration (Bryman & Bell 2007:357). Various colours and graphs were utilised to provide a pictorial presentation of certain findings, while the statistical means was also calculated to measure the average ratings of the responses to each statement. Following the calculation of the descriptive statistics, the reliability of the constructs in the questionnaire was tested. Scores were then calculated for the constructs which were found reliable. Subsequently, exploratory data analysis was conducted to support the selection of the statistical tools and technique to get a 'feeling for the data' and to assess assumptions. At the beginning of the analysis of each section of the questionnaire, a statistical analysis is presented of the significant differences between the mean scores of the different occupational categories. This analysis is based on the One-way Analysis of Variance (ANOVA) model that is generally used to determine the relationships between variables by considering the means and standard deviations. Wagner (2007:81) confirmed the ANOVA model as a statistical test for significance of the differences between the mean scores of more than two groups.

By using the relevant statistical analysis techniques to analyse the data, the results could eventually be interpreted and the conclusions drawn. Outstanding matters that needed further clarification could also be identified. Advice and guidance from a statistician was sought throughout the process, and a confidentiality agreement (template attached as Appendix E) was agreed on and signed, as the statistician had access to information that needed to be treated confidential.

#### **4.8.2 Validating qualitative data**

With regard to the qualitative data, the services of a transcriber was utilised to transcribe the interviews verbatim after the interviews. (See Appendix E for the template on the confidentiality agreement signed between the researcher and the transcriber). The researcher then read the text data and sorted it according to segments of information before it was labelled with codes. The reading of the transcripts was subsequently repeated to group the data according to distinguishable themes. Subsequently, information from the interviews with both the management and the supervisors of the MM DLTC which speaks to one research question, was clustered in one category. The last phase in the data analysis process was to validate

the accuracy of findings by comparing those against the original transcripts, responses to the relevant statements of the questionnaire and the literature review. The goal was to integrate the themes and concepts into a framework for the effective determining and review of methods and procedures to issue driver licences at the MM DLTC. This analysis process supported the content analysis from the follow-up interviews and assisted the researcher to identify themes through understanding the content in the transcriptions (Yin 2010:177-179; Thayer, Evans, McBride, Queen & Spyridakis 2007:270; Babbie 2016:486).

A deductive approach was utilised in presenting the data analysis. The responses and input to the questionnaire is presented in the first half of Chapter 6, while the second half comprises the data analysis and findings of the qualitative data collected during the interviews. A broad framework was established within which the data from the MM DLTC was analysed. After presenting and interpreting the data, the final step in the study was to formulate the conclusions in Chapter 7.

This section described the processes used to transform the raw quantitative and qualitative data to the information that was utilised to reach the research findings and conclusions, that is, the data analysis processes. The strongest arguments raised thus far is highlighted below:

- A mixed methods research design was utilised to collect the data necessary to respond to the research questions.
- This study was largely explanatory research - focused on the causes why issuing driver licences has been a major challenge at the MM DLTC, by identifying the lack of standard operating procedures and functioning internal control mechanisms as the reasons.
- The research methodology adopted for this study included a literature review, case study method, document analysis, structured questionnaires and semi-structured personal interviews.
- Since the research population comprised of employees at the Madibeng Municipality from different levels of the DLTC, parallel sampling techniques was considered appropriate. Non-probability sampling was utilised to select a smaller sample for the interviews as a check for the larger sample that was identified through probability sampling for the completion of the questionnaires.
- A definite link exists between the sections of the questionnaires, the interview questions, research objectives and the research questions.
- The Likert scale technique was used as a scaling model in the questionnaires.

- During the interviews, the participants from the MM DLTC were requested to focus on matters identified for further clarification to reach the research aim and objectives.
- Two techniques of data analysis was utilised: quantitative data analysis for the data collected via the questionnaire and qualitative data analysis for the data collected by way of personal interviews.

The strategies followed to develop a basic framework for the development of standard operating procedures is presented in the following section.

#### **4.9 STRATEGIES TO DESIGN A FRAMEWORK FOR DEVELOPMENT OF STANDARD OPERATING PROCEDURES**

An important contribution of this study is the basic framework for the development of standard operating procedures. Following the data analysis, it became evident that a basic framework was required to develop the set of standardised procedures. The envisaged framework does not necessarily provide explanations, but only described critical elements by placing these into a set of categories. The aim of developing the framework was to:

- illustrate an overview of the critical phases in the procedure-development process; and
- summarise fundamental elements for inclusion in standard operating procedures.

The framework serves as an outline of the interlinked phases and elements which support the development of standard operating procedures. The aim of developing the framework was to identify the critical phases and fundamental elements in the procedure development process so that public managers can apply the framework in their policy formulation process. When setting the framework, it was revealed that the systems theory can be applied to write new and innovative procedures to issue driver licences. Legislation, demands and suggestions by the relevant role-players as well as any existing procedures were consulted as inputs, followed by the gathered information and strategies which were converted into solutions during the procedure formulation phase. The first draft of the procedures was developed and feedback from the relevant parties was sought. The final set of the procedures, known as the 'output' in the system theory, was handed to the MM DLTC management for adoption and approval for implementation. Moreover, monitoring and evaluation should be sought



regularly to improve the procedures. It was found that internal control mechanisms, under which standard operating procedures are grouped, have to be implemented to ensure that the management and administrative actions of DLTC officials is aimed at satisfying the needs of the public. It was consequently established that the internal control mechanisms should be applied effectively to monitor the implementation of the standardised procedures. It was also revealed that key underpinnings of public administration, such as accountability and transparency, must form the foundation of the procedure development process.

The following findings from the quantifiable data were kept in mind when developing the framework. Complicated objectives were generally set, and despite staff having the knowledge to compare of how to execute its functions within prescribed legislation, the DLTC staff is not adequately skilled to monitor specialised areas, such as financial control, leadership and performance management. The findings that the provision of feedback and address shortcomings are complex processes, which were also considered when producing the framework for developing standard operating procedures.

Furthermore, it is trusted that public managers will be encouraged to accommodate a bottom-up policy formulation process when applying the framework. The strategies followed to develop the framework is accentuated which included:

- Thorough examining of the research problem (Chapter 1).
- Comprehensive literature review of the nature and scope of the determining and revision of methods and procedures (Chapter 2).
- A critical evaluation of the implementation of standard operating procedures as internal control mechanism (Chapter 3).
- Application of the mixed methods research design (Chapter 4).
- Document analysis of the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC (Chapter 5).
- Analyses and interpretation of the empirical findings of the data acquired through the questionnaire and interviews (Chapter 6).

As a result, significant concerns were identified and a common language could be found for the development of standard operating procedures within the South African public service. Existing knowledge was thus extended to a blueprint for determining and review of standardised procedures. Moreover, a deductive approach enabled the confirmation that the meticulous implementation of standard operating procedures to

issue driver licences ensures it is issued as intended according to licensing and road traffic legislation. It is envisaged that should the framework be applied effectively by the MM DLTC, a decline in typical driver licence related problems will be experienced. However, various complexities undoubtedly affect procedure implementation and will always impede effective policy implementation at all spheres of government.

The statement by Wessels (2003:168) that Public Administration is an applied discipline, and that its research will be of limited value to the field when it is separated from the reality of practice, will stand the test of time in future. As a mere attempt towards a contribution to Public Administration as academic discipline, this study focused on determining and revision of standard operating procedures to issue driver licences at the MM DLTC. Towards the end, the study improved the understanding of the nature and scope of methods and procedures as a generic administrative function. As a result, the gap between the discipline Public Administration and the practical relevance of methods and procedures was narrowed. By utilising what is already known to build additional knowledge and to better inform future decisions, the practical relevance of the study empowered the discipline with a better understanding of the way in which the determining and revision of methods and procedures influence public policy formulation and implementation at operational level. More details of the value of the study follows below.

A systems approach for the implementation of the framework is applied as the framework which comprises of multiple influences among the different phases. So, included in the contribution of this study, is that the literature review and document analysis revealed that the systems theory can be applied as follows to develop new and innovative procedures to issue driver licences:

- Licensing and road traffic legislation, demands and suggestions by the relevant role-players as well as existing procedures were fed into the 'system' as **inputs**. The existing approaches to conduct how matters should be analysed and compared against the expected and prescribed conditions to identify the needs or gaps that should be catered for was undertaken.
- After the relevant information was collected and analysed, an orderly way of identifying, developing and evaluating strategies to develop the procedures, was set. All the information and strategies were then converted into possible solutions through the actual development or procedure formulation phase. This is also referred to as the **conversion** stage of policy-making. The first draft of the procedures was developed. Further conversion took place by transforming feedback on the first draft of the procedures into the final version thereof (outputs). This implies that various administrative processes had to be executed.

- The **outputs** or the final set of procedures will have to be approved and adopted by the management of the Madibeng Municipality before the implementation thereof. The end-users of the standardised procedure should be trained of how to utilise and implement the standardised procedures. The approved procedures is fed back to the environment from where the need arose to ensure continuous feedback and revision.

With the systems theory, the end-users can either be satisfied or dissatisfied with the final output. When any role-player is not satisfied with an end product or an output, his or her needs or demands are again fed from the environment into the system for conversion. As a result, monitoring and evaluation is sought and provided to improve the output, which were standard operating procedures in this study.

The phases mentioned in the above description of how the systems theory was applied in the development of the standard operating procedures to issue driver licences that ultimately resulted in the formulation of a framework for the development of standard operating procedures. More details about the framework is expounded upon in Chapter 5, section 5.7.4.3 (*Written policies and procedures*) as well as in section 7.2 (*Contribution of the research*) of Chapter 7.

When revisiting the above-highlighted systems process, it is confirmed that solutions to practical problems, such as lacking methods and procedures, can be found when applying existing theoretical knowledge to reality, as posited by Wessels (2003:168). In the above process, the solution to the problem that outdated procedures impede effective driver fitness related service delivery by the MM DLTC, came to the fore in the form of the systems theory. Due to the significant role of the actual procedure development in formulating the framework for the development of standard operating procedures, more detailed information of how the set of standard operating procedures was developed in practice follows in below section 7.2.1 (*Critical phases for development of standard operating procedures*).

Quantitative measurements will now be addressed by discussing the ways in which the requirements for validity and reliability are complied with in this study.

#### **4.10 QUANTITATIVE MEASUREMENTS – VALIDITY AND RELIABILITY**

According to Heale and Twycross (2015:66), validity is, amongst other features, concerned with the idea that the research design fully addresses the research questions and objectives that the researcher aims to respond to or achieve. Quantitative research validity, therefore, reveals that a researcher can draw significant

and useful inferences from scores on specific instruments. Moreover, validity is divided in internal and external validity. Internal validity refers to the validity of the research findings from the sample to the research population, as well as in terms of a causal relationship between variables (the questions contained in the questionnaire), while external validity refers to the quality of being able to generalise the research findings to other similar cases and contexts. Furthermore, validity testing can be carried out via content validity.

#### **4.10.1 Content validity of quantifiable data**

Content validity refers to the degree to which the questions in the questionnaire provide sufficient coverage of the research questions and the objectives of the study. For this study, content validity was established in that the questions posted to the respondents were based on the research questions, the objectives as well as the theoretical foundation provided in Chapters 2 and 3. The conceptual framework provided in Table 4.9 (*Framework for data gathering*) clearly indicates the relationship between the sections of the questionnaire, the objectives of the study and the research questions. For example, section B (*Use and significance of standard operating procedures*) of the questionnaire relates to objective one of the study, that is, to conduct a comprehensive exploration of the nature and scope of the determining and revision of methods and procedures as a generic administrative function, and also relates to the research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' Furthermore, the interview question "*Please elaborate on the significance and advantages of utilising standard operating procedures at the DLTC*", also responded to the above quoted research question.

#### **4.10.2 Reliability of questionnaire**

With validity defined, reliability as quantitative measurement also needs to be cleared within the context of this study. Reliability refers to the extent to which obtained scores may be generalised to different measuring occasions, measurements forms and measurement administrators. It is generally accepted that, when a test measures the same thing repeatedly, and the outcomes stays the same, reliability is achieved. Reliability is thus achieved when the researcher's data collection techniques and analytical measures produce constant results when it is replicated by another researcher or on a different occasion. The dominant attributes of reliability are homogeneity (or internal consistency), stability and equivalence. Homogeneity is the extent to which all the items on a scale measure one construct, while stability refers to the consistency of results using the same instrument with repeated testing.

Equivalence as attribute of reliability involves the consistency among responses of multiple users of an instrument, or among alternate forms of an instrument (Heale & Twycross 2015:67).

With reference to this study, homogeneity was tested on SPSS to determine the internal consistency of the questionnaires. Stability was tested by using test–retest reliability testing. As mentioned, the questionnaire was pretested prior to actual data collection. Interesting enough, the scores from the respondent from the target population corresponded with his/her scores after being selected through probability sampling as part of the sample. This provides an indication of the reliability of the data gathering instruments. As mixed methods research was used, Equivalence was assessed by conducting follow-up interviews after receiving the responses from the questionnaire. The participants for the interviews were selected through non-probability sampling that resulted in selected participants completing a questionnaire as well as being interviewed. A statistical comparison was conducted between these participant's test scores for both data collection instruments in support of the reliability of the instruments.

Saunders, *et al.* (2016:192) identified common threats that may influence the reliability of a research project. He stated that participant error refers to any factor that negatively alters the way a participant performs, while participant bias consists of any factor that contains a false response. With regard to researcher error, any factor that changes the researcher's interpretation is considered a threat to the reliability of a study. Researcher bias is also seen as a threat, and is any factor that generates bias in the researcher's recording of responses. In this study, participant error was limited by requesting the participants to complete the questionnaire during less sensitive times, such as during lunch breaks or after hours, to avoid unnecessary distractions. Participant bias was avoided by assuring the participants of anonymity because linking a participant to his/her responses may result in the participant provide false positive answers as he/she may be concerned about victimisation at the workplace. Researcher error was avoided through a thorough study of the theoretical foundation and conceptual framework of the study, as well as studying relevant legislation that specifies minimum requirements for DLTCs to avoid any misinterpretation of facts. Furthermore, bias was avoided by blocking the researcher's own subjective view or disposition to get in the way of interpreting the participants' responses fairly.

As this study employed mixed methods research, qualitative soundness also needs to be addressed in addition to the quantitative measurements, validity and reliability.

## **4.11 QUALITATIVE SOUNDNESS – TRUSTWORTHINESS**

In qualitative designs, validity and reliability are described through strategies for trustworthiness. Consequently, the verification of trustworthiness for this study is analysed. This will be done by referring to credibility, transferability, dependability and confirmability. Triangulation as a strategy to enhance credibility by overcoming problems of researcher bias is also described (Yin 2010:153).

### **4.11.1 Credibility**

Credibility in this study was achieved by striving for truth through accurate description of the investigated phenomenon. The credibility of the findings and results was enhanced through triangulation. In layman's terms, triangulation is an approach that utilises multiple data sources, multiple informants and multiple methods to gather multiple perspectives on the same issue to gain a complete understanding of the research phenomena (Schurink & Auriacombe 2010:441; Youngs & Piggot-Irvine 2012:187 & 188).

Two types of triangulation were employed in this study, namely: (1) data triangulation in which different data sources was utilised, namely participants from different levels at the MM DLTC; and (2) methodological triangulation in which multiple methods, qualitative and quantitative research design, was utilised to study the research problem. Triangulation in this study broadened the range of data gathered. The questionnaire was developed and distributed to the participants at the MM DLTC who possess expertise, knowledge and experience to issue driver licences and the functions of DLTCs. Follow-up personal interviews were conducted after administering and completing the questionnaires to gather additional information, especially in instances of indecisiveness. The outcomes of the questionnaire were triangulated with the interviews to reach valid conclusions to issue driver licences at the MM DLTC, thereby providing a multi-voiced account.

### **4.11.2 Transferability**

In the academic environment, transferability refers to the extent to which research findings can be transferred to other similar situations or cases (Krefting 1991:220). With reference to this study, transferability referred to the extent to which the proposals and the guidelines for the determining and review of standard operating procedures to issue driver licences at the MM DLTC, can be transferred to other Centres. In fact, the representativeness of the sample relative to the larger population was reached by applying both probability and non-probability sampling techniques. Furthermore, the transferability of this study was enhanced through the selection of a typical case, which

is the MM DLTC that typifies the nature of DLTCs in South Africa. Moreover, the findings from the data provided by MM DLTC management and supervisors complimented the front-line employees: eNaTIS cashiers and the driver licence examiners. However, additional research will be necessary to determine the transferability of the findings of this study to other DLTCs in South Africa, as well as other countries that follow similar processes to issue driver licences as in South Africa. For example, Namibia. Since the challenges experienced by the MM DLTC and the circumstances in which it functions are not necessarily unique, many of the proposals provided in section 7.6 (*Recommendations*) of Chapter 7 would have sufficient merit for consideration as remedies for challenges experienced by DLTCs across South Africa to issue driver licences.

#### **4.11.3 Dependability**

Dependability refers to the extent to which research findings and conclusions remain consistent should the study be repeated with the same or similar participants in the same or similar contextual setting (Krefting 1991:216 & 221). As stated above, this study used triangulation as a method as well as data triangulation to confirm the study findings and conclusions to enhance the accuracy and integrity of the data. The dependability of the findings and results of the study was enhanced by describing the exact procedures and instruments to gather data and analysis. Substantive deliberation of the research approach, population and sampling techniques, and data collection instruments and data analysis methods was included in the description of the research design and methodology.

#### **4.11.4 Confirmability**

According to Isaac and Michael (1995:223), confirmability deals with the comprehensive examination of the entire scientific inquiry from the beginning to the end – by checking, reconstructing and evaluating the audit trail of the data and records to determine the scientific adequacy of the study. Confirmability thus refers to the extent to which the findings can be independently confirmed by other researchers and therefore confirms the extent to which the research methods of data collection and analysis is accurate. The researcher ensured confirmability by documenting the phases of the research process from conceptualisation to operationalisation, analysis and conclusions. Refer to Table 4.1 above (*Representation of the research path*) for the phases of the study.

Collectively, the strategies and measures conducted for this study ensured credibility, transferability, dependability and confirmability of its findings. Furthermore, the results confirmed the trustworthiness of the study. Moreover, trustworthiness is also

enhanced by complying with the ethical requirements which governs research. These aspects are described in the following section.

#### **4.12 ETHICAL CONSIDERATIONS**

Aspects that governed ethics clearance and ethical compliance of the study is elaborated on. Only officials directly involved with issuing driver licences at the MM DLTC were requested to complete the questionnaire and/or were interviewed. The participants were invited because of their extensive experience of the topic. Their views on the topic enabled to generate a comprehensive illustration of the development and implementation of methods and procedures to issue driver licences at the MM DLTC. The participants were neither subjected to any form of intervention or manipulation of their environment nor exposed to any harm or exploitation. It was accentuated that participation is voluntary, and the participants were under no obligation to consent to participate. Those who decided to participate received were handed an information leaflet (Appendix C) to keep and requested to sign an informed consent form (Appendix D). The participants were free to withdraw at any time and without providing a reason.

The participants were informed of the nature, procedure and potential benefits of participation, and were granted sufficient opportunity to pose questions and prepare to participate in the study. Each participant's privacy has been respected throughout the research by not disclosing any private information. No one would be able to connect the participants to the responses provided. Thus, anonymity and confidentiality was considered as critical elements of the study. The participants did not receive any payment or reward, financial or otherwise, and the study did not incur undue costs either. The participants would be able to access the thesis at the Unisa library. A hard and soft copy of the newly developed set of standard operating procedures to issue driver licences was handed to the MM DLTC for probable consultation and examples for further development.

Soft copies of the supporting data was stored by the researcher in a password protected computer, while hard copies are locked in the office cabinet. All information would be destroyed after five years which would allow sufficient time for further research and subsequent publication in accredited journals associated with the discipline, Public Administration. Electronic information on the password protected computer would be permanently deleted from the personal computer hard drive. Hard copies of research documents were shredded.



#### 4.13 SUMMARY

As reflected in the title of this chapter, two main focus areas, the research design and methodology, was described. When revisiting the research design and methodology, the researcher conducted the study in an independent and impartial manner through a non-participating approach. The researcher investigated the existing structures, processes, official documentation and applications as an outsider, and was not involved in the daily tasks at the case study. This chapter commenced with a description of the selected research philosophy, pragmatic research philosophy, and then proceeded to describe the mixed methods research design utilised in this study.

The research methods, literature review, case study method, document analysis and empirical research, was elaborated on as part of the research methodology. Explanatory research was thereafter introduced as the preferred research approach. A brief introduction of the target population and the utilisation of both probability and non-probability sampling techniques was followed. The chapter also described the structure and content of the questionnaires and personal interviews as data gathering instruments. A section on data analysis was provided. Subsequently, the methods utilised to ensure that the findings comply with the principles of validity and reliability was expounded upon. Verification of trustworthiness, with reference to credibility, transferability, dependability and confirmability, was described. Finally, a description of significant ethical considerations concluded this chapter. As a preface to the data presentation and analysis in Chapter 6, details of the MM DLTC at which the research activities was conducted is presented in the following chapter.

## **CHAPTER 5: FUNCTIONING OF THE DRIVING LICENCE TESTING CENTRE: MADIBENG MUNICIPALITY**

### **5.1 INTRODUCTION**

The research methodology and design was described in the previous chapter. As suggested in Chapter 4, section 4.5.2 (*Case study method*) a single-embedded case study design was followed because the MM DLTC was studied as a subunit of the municipality. The single-embedded case study design provided the researcher with the opportunity to conduct a comprehensive investigation of how to develop and implement standard operating procedures as an internal control mechanism at the MM DLTC. The daily operations of the MM DLTC is discussed to seek responses to the research question: 'What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?'

The utilisation of documents as data-collection technique includes various written communications that contributed towards the study. From a qualitative perspective, legislation, relevant Acts, Regulations and Government Gazettes, as well as official documents, such as eNaTIS policy documents and audit reports were consulted. The World Wide Web which falls within the mass media category was utilised to gather the distinctive historical overview of issuing driver licences. Internet searches were conducted by using Google Scholar, and the content was verified against at least two other sources before it was acknowledged in the relevant context.

This chapter highlights the significance of advancing the case study and accentuates the application of theory to practice. A historical overview of issuing driver licences is provided followed by a discussion of the national Department of Transport and the Inspectorate of DLTCs as the primary driver fitness regulatory institutions. The focus shifts towards the structure and scope of DLTCs. Hereunder, the grading of DLTCs, human resource responsibilities as well as record keeping and reporting requirements are expounded upon. An overview of the location and structure of the Madibeng Municipality is provided followed by the daily operations at the MM DLTC. The chapter is concluded with detailed descriptions of the methods and procedures for driver fitness, as well as the internal control mechanisms implemented at the MM DLTC.

### **5.2 BACKGROUND INFORMATION**

Checklists served as data collection instruments to identify gaps in the nature and scope of the standard operating procedures at the MM DLTC. Legislated requirements for issuing learner and driver licences was included as minimum criteria so that the

checklists could be compared in relation to prescribed legislated processes and the actual outcomes of decisions made by the supervisors and management at the Centre. Examples of the checklists acquired from legislated requirements is included in Table 5.1 below (*DLTCs grades and minimum physical requirements*) and Appendix F. The standard operating procedures identified below in section 5.8 (*Standard operating procedures to issue drivers licences*), were developed from August 2016 to April 2017. The instructional design model described in Chapter 2, section 2.6 was followed (*General guidelines for development of standard operating procedures*). No details of how to perform and execute the eNaTIS transactions have been included in the procedures because it falls outside the purpose of the study. However, reference is made to the appropriate eNaTIS transactions. A first draft of the procedures was provided to both the MM DLTC and the Inspectorate of Driving Licence Testing Centres at the national Department of Transport, for feedback and comments. The comments received from the management representative at the MM DLTC were included in the final draft of the procedures. The Inspectorate of DLTCs advised the researcher to use the 1996 NRTA and the NRTRs as amended as basis for the development of the standard operating procedures. Thus the possible generalisability of the newly developed procedures on a national basis is confirmed. The final draft of standard operating procedures was handed to the Inspectorate for information and record keeping. Detailed standard operating procedures are included in section 5.8 below (*Standard operating procedures to issue drivers licences*). As suggested in Chapter 7, section 7.6 (*Recommendations*), the attached standard operating procedures may be utilised as examples when developing procedures for the lack of specific procedures.

### **5.3 SIGNIFICANCE OF ADVANCING THE CASE STUDY**

As stated above, this chapter expounds upon the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC to illustrate standard operating procedures as a crucial policy instrument at operational level to ensure implementation and compliance with legislative requirements. The contemporary utilisation and need for standard operating procedures was accentuated and the popular belief that the determining and revision of methods and procedures have no or limited place in public administration, is proven incorrect. Furthermore, a historical overview of driver fitness related policy development is provided to sketch a holistic policy cycle that includes the complexities of developing policy and procedures of how to issue drivers licences from political and governmental level to operational and administrative level. Furthermore, the newly developed standard operating procedures

function as a compliance tool as it standardises procedural performance and increases consistency at the DLTC (Meier & O'Toole 2009:5-7 & 17).

Further insight into the nature of operational policy was gathered by including a thorough description of how learner and driver licences as well as professional driving permits are authorised and issued at the MM DLTC. Consequently, the study was not merely limited to theoretical concepts and literature review. This chapter focuses on the implementation of comprehensive and complex legislation at grassroots level. The primary reasons for presenting the case study includes a thorough historical overview of how public transport and driver fitness policy developed, as well as the link between standard operating procedures as operational policy and the implementation of internal control mechanisms. Trivial matters that do not necessarily affect political policy are embraced to present a holistic overview of operational matters at the selected case. These matters relate to how routine office work at the MM DLTC is conducted at the lower levels of the hierarchy. The theoretical information discussed in Chapter 2 and the critical review in Chapter 3 was applied to the practical implementation thereof at the MM DLTC.

Conforming to the approach in Chapter 2, section 2.2 (*Perspectives on methods and procedures*), and Chapter 3, section 3.3 (*The changing role of internal control*), this chapter also commences with a historical overview. This approach provides an in-depth understanding of the case that is issuing driver licences at DLTCs, with specific reference to the MM DLTC.

#### **5.4 HISTORICAL OVERVIEW OF ISSUING DRIVER LICENCES**

The section provides an overview of key historical aspects that influenced the regulation of driver fitness in South Africa. By 'driver fitness', reference is made to the requirement that a motor vehicle driver needs to be in possession of a valid and officially issued driver licence card to drive legally on a public road. Driver fitness also includes written and practical driver license examinations and a vision test. This section illustrates how historical developments influenced the issuing learner and driver licences in South Africa. The historical overview includes international highlights before developments in South Africa and underscores significant periods in the development of driver licence related matters. The historical overview is presented in chronological order, that is, the first commissions of inquiry in the transport environment; significant developments in the 1980s and 1990s; towards sophisticated transport and traffic information systems after 2000 including 2013 when customer and customer satisfaction became a point for concern at the DLTCs.

#### **5.4.1 International highlights in issuing driver licences (the early years)**

The world's first license to drive a motor vehicle was issued in 1888 to Mr Karl Friedrich Benz upon his request after the residents complained about the noise and smell his Motorwagen emitted. Upon approving his request, Mr Benz, the inventor of the modern automobile, received written permission from the Grand Ducal authorities in Germany to operate his car on a public road. The request from Karl Benz for a written drivers permit was indeed the initial point for issuing driver licences globally (Lutteroth 2008:Online).

In the years that followed, authorities globally required driver licenses for horseless carriages. In the United States of America (USA), the mayor of New York wrote a letter in 1899 granting permission to operate a horseless carriage up to 6mph on city streets, and in the same year, the city of Chicago required driver certification to operate vehicles powered by steam. In 1900 in Washington D.C., Ms Anne French claimed her early spot in the driver's seat when she became the first female driver to acquire a licence to operate a four-wheeled vehicle. In this period, licenses were required in most cities in the USA. In 1909, an age restriction to acquire a license was set at 18 years in Pennsylvania, while the city of New Jersey required a simple written examination and a road test for drivers from 1913. In 1954, South Dakota became the last city of the USA to require driver licenses. Photographs first appear on California's driver licenses in 1958 (Automobile 2012:Online; Tate 2013:Online).

Within the German Empire, Prussia introduced compulsory licensing in 1903 upon passing a test on mechanical fitness, and in 1910, the German Imperial Government mandated the licensing of drivers on a national scale and established requirements for yard tests and driver education. In the United Kingdom, mandatory licensing for drivers was legislated on 1 January 1904 with the implementation of the Motor Car Act of 1903. Every car owner in the United Kingdom had to register his/her vehicle and identify the driver of the vehicle at the Local Government Authority. Drivers needed to renew their licences annually. Compulsory testing was only introduced in 1934, with the passing of the Road Traffic Act of 1935 of the United Kingdom. Until the start of the 20<sup>th</sup> century, local authorities followed the practice to issue licenses to drive motor vehicles on an *ad hoc* basis (Gocompare.com 2017:Online).

But, what happened in South Africa during these early years of transport and driver fitness development?

#### **5.4.2 Railways and uncontrolled transportation in South Africa (1843 – 1948)**

In South Africa, the first road authority known as the Central Road Board, was established in 1843 under the chairmanship of Mr John Montagu. The Board was primarily concerned with the construction and maintenance of rural roads, and one of the first tasks undertaken by the Board was the construction of a hard road over the Cape Flats, from Cape Town to Eerste River. The road was constructed and completed in 1845, and was named after the chair of the Board, Mr Montagu. The Montagu Pass was opened for traffic in December 1847, and in 1848 a tollgate was established. In 1902, the first motor car driver drove through the pass (Lishman 2013:11 & 12).

During the early years from 1843 to 1925, limited attention, if any, was paid to driver fitness development. By the end of the nineteenth century, motor vehicles were hardly ever seen on the formerly rural roads, because railway transport dominated the transport scene. At the time of unification in 1910, rail transport was the only significant means of public transportation. To regulate the railways, the Interstate Commerce Act was passed in 1887 (Janse van Rensburg 1996:1 & 8). Before 1910, most road links between towns catered for ox wagons and comprised primarily of tracks. Between 1910 and the middle of the thirties, motorised vehicles started to replace ox wagons. With the growth in the motor vehicle population, the demand for blacktop surfaces on rural roads became increasingly real. By late 1920, the great era of railway construction in South Africa had reached its end. The rapid development of motor vehicles had a negative impact on the railways, making further construction of branch lines economically unviable. By 1925, it was accepted that further railway branch lines would not be built, but in the place thereof, road transport would be used as far as practically possible (Stander & Pienaar 2002:2-4).

Following the increase in road transportation, a commission of inquiry, the Road Motor Competition Commission, was appointed by the then Minister of Transport, Mr FC Sturrock, on 21 January 1929 under the chairmanship of Mr JC le Roux to inquire into and report on challenges relating to road transportation. Competition between road and railway transportation, and its effect on the road and rail services of the South African Railways Administration had to be investigated. Measures to be taken to improve the regulation, coordination and control of road transportation also had to be reported (Smith 1973:253). The Commission reported to the Minister of Transport on 6 December 1929. It was revealed that road transportation was disordered, unrestricted and uncontrolled. The Commission recommended a fair degree of control over road transportation by proposing the creation of a National Roads Board.

Moreover, the control of motor carriers was recommended to eliminate “*wasteful and destructive*” competition (Buthelezi 2014:Online).

Based on the Motor Car Act of 1903 of the United Kingdom, the regulation of road motor transport and mandatory licensing came into being in South Africa with the implementation of the Motor Carrier Transportation Act 39 of 1930, a year after the Le Roux Commission Report. Under this Act, a Central Road Transportation Board and ten Local Road Transportation Boards were established in the then four Provinces of the Union to execute general administrative related matters. All motor carrier transportation businesses had to be holders of motor carrier certificates to operate within predefined areas and routes for reward (Smith 1973:253). Before the implementation of the Motor Carrier Transportation Act 39 of 1930, there was no control over the conveyance of persons and goods by road. Road transportation in South Africa at the beginning of the twentieth century was still in its infancy, and the basic objective of the Motor Carrier Transportation Act 39 of 1930 was to provide a system of control over particular unauthorised road transportation. Regrettably, this legislation also banned many African bus companies and taxis in certain areas (Buthelezi 2014:Online).

In 1932, the Act was amended and control tightened. Although various amendments to the Motor Carrier Transportation Act 39 of 1930 had been made since 1930, the principles underlying the regulation and control of transportation remained unchanged. In summary, the transportation of persons and goods by a motor vehicle on a public road for reward was prohibited, unless the necessary authorisation had been obtained in the prescribed manner. In 1933 the Act was extended to the territory of the then South West Africa. By 1941, motor carrier transportation on all the roads was brought under the control of the Motor Carrier Transportation Act 39 of 1930, and more effective control of taxi operations was provided for. The then Union of South Africa and South West Africa were sub-divided into eleven local transportation areas. Virtually all transportation by road of persons and goods for reward or in the course of business had to be authorised by the relevant local board (Janse van Rensburg 1996:10).

Further developments in the early years included the Page Commission of 1945 and the acceptance of the Transport Coordination Act 44 of 1948. Although these two highlights affected the transport history of South Africa, it did not contribute meaningfully towards the nature and scope of driver fitness as currently outlined in the NRTA of 1996. The Page Commission of inquiry into road transportation conditions was appointed on 17 October 1945 under the chairmanship of Major SM Page to provide recommendations on the coordination and further regulation of transport

operators. The Page Commission essentially confirmed the need for continuous regulation of road transportation. Following the Page Commission, the Transport Coordination Act 44 of 1948 was promulgated to stipulate the objectives and tasks of the National Transport Commission as mainly to promote and co-ordinate the development of transport in the Union (Janse van Rensburg 1996:9 & 10; Buthelezi 2014:Online). Further developments during the 1960s and 1970s are elaborated on in the following section.

#### **5.4.3 From no competition to deregulated road transportation (1960 – 1977)**

On 5 March 1965, yet another commission of inquiry, the Commission of Inquiry into the Coordination of Transport in South Africa was appointed under the chairmanship of Dr MD Marais to investigate and report on how the different modes of transport could promote the development of the national economy. The Commission published its report on 30 January 1969. The recommendations of the Marais Commission are seemingly insignificant for research about driver fitness. However, during this period, spatial planning under the Apartheid laws impacted directly on the public transport provided by buses and trains. As a result, public transport became increasingly expensive for commuters (Janse van Rensburg 1996:12).

The commission under chairmanship of Mr A van Breda was appointed on 21 July 1975 to inquire into, consider and report upon the Road Transportation Bill that provided for a system of control for the so-called unauthorised taxi industry. The Van Breda Commission rejected free competition in the public transport arena on the grounds that it could lead to an oversupply of services in urban areas and an undersupply in outlying areas. The Van Breda Commission recommended a regulated competition. This led to the enactment of the Road Transportation Act 74 of 1977, which replaced the Motor Carrier Transportation Act 39 of 1930 (Janse van Rensburg 1996:13; Sekhonyane & Dugard 2004:14).

The Road Transportation Act 74 of 1977 was promulgated on 1 January 1978 to control certain forms of road transportation. Under the Road Transportation Act of 1977, concessions were made to achieve free competition within the road transportation industry. However, although the Act allowed more freedom, it also controlled what may be transported where, and by whom. A road carrier, or a person whose business it was to convey persons or goods for reward, had to apply for a permit at an applicable local road transportation board. A public, private or temporary permit was then issued to the road carrier to allow the transportation of goods on certain conditions regarding the permissible type of goods, area of operation and the effective period. Fortunately, under the principle of deregulation, more and more transportation



was exempted from the permit system. Specified exempted goods could be transported anywhere without permits and the transportation of any goods could be undertaken freely in any proclaimed exempted areas (Road Transportation Act 1977:Sections 1,12 & 17).

The Road Transportation Act 74 of 1977 thus established the concept 'public permit' that led to what is known today as professional driving permits, as defined in Section 32 of the NRTA of 1996. Hence, the Road Transportation Act 74 of 1977 provided the foundation for the process of issuing professional driving permits to professional drivers as set in Chapter V (Regulations 115 to 127B) of the NRTRs of 2000 published under the NRTA of 1996. Refer to section 5.7.3.3 below (*Application for and issuing of professional driving permit*) for more details of issuing professional driving permits at the MM DLTC.

#### **5.4.4 Introducing a road transport quality system (1980 – 1989)**

Numerous types of driver tests have been used over the years in South Africa. Meaningful to the historical development of driver fitness in South Africa, was the acceptance of the K53 test manuals in the early 1980s. Complementing the development and acceptance of the driver licence test manuals, the 1980s also rendered the Road Transport Quality System, the White Paper on National Transport Policy of 1986 and the Road Traffic Act 29 of 1989. These developments within the transport and licensing arena laid down the foundation for the current driver fitness scene.

In approximately 1979 to 1981, proposals for new driver test manuals were invited and assessed by the Department of Transport. The number K53 was based on the number of proposals submitted and the total upgraded versions during this period. Test number K53, based on the United Kingdom system – known as the Highway Code, was finally accepted as the most suitable way to test aspirant drivers. The system was implemented in January 1992, but it was only later in 1998 that the K53 was officially published in Government Gazette 19571 of 8 December 1998. An amended version of the K53 practical drivers test was compiled in August 2005, and subsequently published and promulgated in Government Gazette 28446 of 7 April 2006. The K53 manuals will be amended in 2018 (Government Gazette 28446 2006:1; Wheels24 2016:Online; Arrive Alive 2017(a):Online).

The K53 practical driving test measures a driver's proficiency in handling a vehicle and his/her obedience to traffic rules, road signs, traffic signals and surface markings. Drivers also have to cope with traffic problems in practical driving situations. The K53 manuals are categorised as follows (NRTR 2000:Regulation 107(5)):

- Volume 1: Practical driving test for light motor vehicle drivers.
- Volume 2: Practical driving test for heavy motor vehicle drivers.
- Volume 3: Practical driving test for motorcycles.
- Volume 4: Practical driving test for light motor vehicles combinations drivers.

Still in the 1980s, a National Transport Commission was established under the chairmanship of Mr RAF Smith, the then chief director of Land Transport at the Department of Transport to embark on an investigation into road, rail, sea and air transport. Realising the need to replace the permit system introduced by the Road Transportation Act 74 of 1977 in which a road carrier permit was required for the conveyance of goods in selected areas, it was decided to introduce a quality control system. The enquiry into the quality control system was done under the banner of the National Transport Policy Study, a sub-committee of the National Transport Commission. After many deliberations, recommendations to implement the Road Transport Quality System (RTQS) were submitted to the National Transport Commission and accepted by Government in 1986. As a result, Section 74 of the Road Traffic Act 29 of 1989 was amended which required the owner of certain prescribed classes of motor vehicles to be registered as the operator of such a motor vehicle. This requirement was carried over to Section 45 of the NRTA of 1996 and Regulations 265 and 267 of the NRTRs of 2000 to prescribe that the registered owner of a goods vehicle above 3 500kg must be registered as the operator when licensing the vehicle. The RTQS thus sets a direct link between operators of heavy goods vehicles and professional drivers. Consequently, DLTCs gained administrative control over the operators and professional drivers who need to comply with predetermined minimum requirements (NRTA 1989:Section74; NRTA 1996: Section 45; NRTR 2000: Regulations 265 & 267; Webster 2001:Online).

The recommendations provided by the National Transport Policy Study that were accepted by the National Transport Commission, resulted in the White Paper on National Policy of 1986. Among various formulated recommendations, the most notable recommendation relating to DLTCs, was the introduction of certain prerequisites for appropriate and sufficient infrastructure at DLTCs, such as driving licence yard test facilities. These and other preconditions were accepted by Government, and eventually included in the then Road Traffic Act 29 of 1989 (White Paper on National Transport Policy 1986:3 & 4).

The Road Traffic Act 29 of 1989 consolidated and repealed four provincial Road Traffic Ordinances, like the Road Traffic Ordinance of the Province of Transvaal of 1957, in

order to achieve national uniformity within the transport environment. Under the Road Traffic Act 29 of 1989, the regulating of the registration and licensing of motor vehicles and the drivers thereof, as well as the regulation of traffic on the public roads, were simplified. Moreover, the economic regulation of the road transport industry was abolished and replaced by the technical regulation of operators and vehicles. The Road Traffic Act of 1989 was eventually repealed in 1996 by the NRTA of 1996.

#### **5.4.5 Setting the scene for driver fitness (1990 – 1998)**

During the period from 1990 to 1998, the contemporary scene for driver fitness was set by the White Paper on the National Transport Policy of 1996, the NRTA of 1996 and the National Traffic Information System (NaTIS) that was implemented in 1996. It was also during this period that the Constitution of 1996 was adopted. The looming drivers licence demerit points system received attention in 1998 with the implementation of the Administrative Adjudication of Road Traffic Offences (AARTO) Act 46 of 1998, and in the same year, drivers licence cards were introduced to replace the drivers licences previously included in identity documents. These important regulatory aspects affecting the issuing of driver licences is broadly defined below.

The Forum on National Transport Policy was established in 1992 and operated until 1995 when it was replaced by the National Transport Policy Review Panel established by the then Minister of Transport. The National Transport Policy Review was initiated as a consultative process to revisit transport policy and to formulate new policy, where needed. This resulted in the publication of the Green Paper on National Transport Policy. Following a number of consultative sessions and written submissions, the White Paper on National Transport Policy of 1996 was published in September 1996. The White Paper asserted the significance of road traffic and safety, and was used as a point of departure for any discussion on driver fitness. The National Transport Policy outlined the role and responsibilities of the Department of Transport and sets out the vision for South African Transport as being to provide safe and fully integrated transport operations and infrastructure. Aspects of transport infrastructure, road traffic safety and passenger transport featured prominently in the policy formulation process. Notably, the White Paper recognised the professional driver as at the core of public transport policy development. These elements of the White Paper eventually found expression in the NRTA of 1996 (South African Government 1996:Online).

The NRTA of 1996 provides for road traffic matters which are to be applied uniformly throughout South Africa, and covers all the requirements relating to driver fitness. Chapter IV of the NRTA of 1996 and Chapter V of the NRTRs of 2000, are entirely devoted to the fitness of drivers and commences with the requirements for an

application for registration of a DLTC. The grading of DLTCs are then described after which the suspension of registration of DLTCs receives attention. The appointment of the Inspectorate of DLTCs then follows. Detail about the driver of a motor vehicle to be licensed, and the preconditions for the issuing of learner's and drivers licences are then provided. The disqualification from obtaining or holding a learner's or drivers licence is also described. The classification of learner or driver licence is then brought to the fore by means of a detailed list of the different categories of licences. These categories of licences replaced the previously used codes of driver licences in the old Road Traffic Act 29 of 1989. For example, a previous code 8 driver licence was replaced with the new code EB licence. The failure to disclose information that may disqualify a person from obtaining a licence is consequently stated. Endorsements on licences are also described. Other aspects that received attention included the prohibition of utilising someone else's learner's or drivers licence and the prohibition of employing an unlicensed driver to drive a company vehicle. Furthermore, the regulation of professional driving permits is also described in detail (NRTA 1996:Chapter IV).

The NRTA of 1996 is thus a comprehensive and multifaceted Act. The complexity of the NRTA is further evident in the description of the instances when a court may cancel a licence or a professional driving permit, as well as cases when a person may be disqualified from obtaining a licence. Guidelines regarding the suspension of a licence on conviction of certain offences are also specified. With regard to Regulations, the Minister of Transport makes and publishes National Road Traffic Regulations under Section 75 of the NRTA of 1996. NRTRs 91 to 98 specifically regulate DLTCs, Regulations 99 to 105 regulate learner's licences, Regulations 106 to 114 pertain to drivers licences, and Regulations 115 to 127 prescribe the issuing of professional driving permits (NRTA 1996:Chapter IV; NRTR 2000:Chapter V).

In 1996, the national Department of Transport established a new policy framework for transport in South Africa. The foundation of the new policy approach was embedded in the White Paper on National Transport Policy of 1996. In order to manage driver and road traffic related matters in a responsible and accountable manner, reliable information and data of vehicles, owners, motor vehicle drivers and the operators, are required. Information management, specifically the development and implementation of the NaTIS, have consequently been identified as being of critical significance to driver fitness. As far as road traffic as a key focus area of transport policy is concerned, the White Paper also recommended that NaTIS be made fully operational. NaTIS was rolled-out nationally during 1997/1998 and replaced the dated Motor Vehicle Registers (MVRs) previously utilised as data capturing and storage systems in the then four provinces, namely: Transvaal, the Cape province, Natal and the Orange Free State

(White Paper on National Transport Policy 1996:Online). NaTIS included, amongst other modules, a driver fitness module that controlled the management and administration of testing centres; from applications for learner's licences, driver licences and professional driving permits, to administering endorsement of licences. NaTIS was operational for ten years until the advanced electronic version thereof, eNaTIS, was introduced in 2007 (eNaTIS 2017:Online).

The Constitution of the Republic of South Africa of 1996 was published in the same year in which the White Paper on National Transport Policy was accepted. As the primary pillar of the South African democracy and as the supreme authority in South Africa, the Constitution regulates transport service delivery. Section 85(2)(b) of the Constitution of 1996 mandates the Department of Transport with the role of developing and implementing transport policy, including driver fitness and the issuing of drivers licences. The mandate places a huge responsibility on the Department to ensure that transport policy development addresses persistent driver fitness needs, such as timeous bookings for learner licence tests, speedy and accurate issuing of driver licence cards and maintaining a high standard of practical driving licence test. Furthermore, the Constitution identifies transport as a function that is legislated and executed at all three spheres of government (Constitution 1996:Schedules 4 & 5). More detail about the role of the Department of Transport is provided in section 5.5 below (*Driving fitness regulatory institutions*).

Following the policy developments, the AARTO Act 46 of 1998 was enacted in 1998 and a pilot phase was introduced in Pretoria in 2008 under the administration of the Tshwane Metropolitan Police Department. In November 2008, the Johannesburg Metropolitan Police Department also adopted AARTO to manage traffic offences. The AARTO Act 46 of 1998 aims to, amongst other objectives, promote road traffic quality by providing for a scheme to discourage road traffic contraventions, facilitate the adjudication of road traffic infringements and support the prosecution of offences. In accordance with the AARTO Act 46 of 1998, when a driver commits a road traffic violation in terms of the NRTA of 1996, such violation is categorised as a traffic offence, a minor infringement or a major infringement. The AARTO Act 46 of 1998 also makes provision for the implementation of a point's demerit system that penalises drivers and operators who are habitual offenders. It is anticipated that once the demerit point system is implemented, driver licences in question will be cancelled after it has been suspended for a third time, depending on the number of demerit points (AARTO Act 1998:Section 2; AARTOfacts 2011:Online).

In South Africa, a driver's licence is an official document which authorises the holder thereof to drive a motor vehicle of a specific class on a public road. Driver licences are

issued by appropriately graded DLTCs, which are managed by municipalities on the local sphere of government under the supervision of the provincial and national Departments of Transport. Until 1997, driver licences were recorded by the Department of Home Affairs in identity documents. Close collaboration existed between the national Department of Transport, provincial Departments of Transport, the Department of Home Affairs and DLTCs to regulate and accurately record driver licences. It was only in 1998, when driver licences were recorded and issued in a 'credit card' format, that DLTCs ordered driver licence cards directly from a drivers licence card production facility. As a point of interest, a drivers licence card expires every five years after which it needs to be renewed, whereas a drivers licence does not expire, meaning that when a driver renews his/her driver's licence card, he/she will not be expected to undergo a driver license test (NRTR 2000:Regulations 101(2)(a) & 108(5)(a)).

#### **5.4.6 Minimum requirements for DLTCs (2000 – 2009)**

During the period 2000 to 2009, minimum requirements for the registration and grading of DLTCs were set in 2005, and eNaTIS was introduced in 2007 as an advanced version of the previous NaTIS system. These and other influential aspects that paved the way for driver fitness as we currently (in 2017) know it, is discussed below.

Minimum requirements for the registration and the grading for DLTCs were published as General Notice 735 on 27 May 2005 in Government Notice 27589. The primary aspects included in the Government Gazette are: (1) minimum physical requirements for DLTCs; (2) minimum personnel requirements; (3) quality system necessities; (4) standards for learner's licence test facilities and the duties of the examiner conducting learner's licence tests; (5) drivers licence tests essentials; (6) significance of appointments for tests; and (7) need for suitable filing systems at DLTCs (Government Notice 27589 2005:3). Since this chapter is dedicated to issuing driver licences by the MM DLTC, these aspects are addressed in more detail in section 5.6 below (*Structure and scope of Driving Licence Testing Centres*).

eNaTIS was officially launched on 17 April 2007 to ensure adherence to the NRTA of 1996. It is a vehicle used by DLTCs to, amongst other functions, record and manage applications for learners and drivers licences. The eNaTIS is a key driver and the operating system for the issuing of driver licences and recording of drivers' road traffic offences (Tasima 2011:Online; eNaTIS 2012:Online). eNaTIS is currently (in 2017) the official national database for all vehicles and driver licences, and stores, records, manages and enforces the requirements of the NRTA of 1996, the AARTO Act 46 of 1998 and the NRTRs of 2000, as amended. It provides for the registration and

licensing of vehicles, and manages and records applications for and authorisations of drivers and learner's licenses. The driver license module on eNaTIS validates the examiners for driving licences, testing centres' details as well as the appointments for written and practical tests. The system also allows for the introduction of the AARTO system as well as the online registration of vehicles by financial institutions. eNaTIS is a law enforcement tool which is used to ensure that stolen vehicle details are circulated to prevent irregular and fraudulent re-registration of such vehicles. Furthermore, it serves as a register to record any safety related decisions provided by the South African Bureau of Standards (eNaTIS 2017:Online; Arrive Alive 2017(b):Online; SABS 2017:Online).

In 2007, eNaTIS experienced major challenges with its performance as the database servers were not powerful enough to process the rapid increase of transactions due to an escalation in motor vehicle sales and a vast number of driver licence conversions. However, by the middle of 2008, eNaTIS was processing double the number of transactions than the previous NaTIS system. eNaTIS has since optimised its performance (eNaTIS 2017:Online). However, in 2016, there was a mixture of successes and failures with the eNaTIS system came to the fore as the national Department of Transport and motor vehicle dealers considered the system successful due to the continuous increase in transactions, while driving schools found the learner and driver test modules complex. Furthermore, corruption was highlighted as the primary reasons for the systems failures. Moreover, a number of corrupt officials were convicted in 2016. For this reason, the driver license booking system aims to prevent unscrupulous officials from abusing the system by extorting money from the public to secure license appointments. Despite complaints that the system is dysfunctional, the Department of Transport has retained the centralisation of the learner booking system to eliminate the illegal sale of booking slots by corrupt officials (Auditor-General 2011(b):64; Pillay 2012:35,78 & 79).

#### **5.4.7 The period 2010 and beyond**

In 2010, an online driver licence booking system was accepted, while computerised learner licence tests were implemented in 2011 at selected Centres. Furthermore, minimum service delivery standards were set for DLTCs in 2013. In 2014, a draft policy on national learner transport that affected professional drivers, evolved, and in 2015, the strategic framework for national land transport prescribed that eNaTIS needs to record secure, reliable and accessible driver related information. These regulatory aspects are briefly highlighted below to conclude the historical overview of the development of driver fitness policy in South Africa.

The eNaTIS drivers licence appointment booking system was fully deployed in 2010 after its launch in 2007/2008 through various pilot project sites. Since the launch of the booking system, the manual recording of test appointments was phased out. All the appointments for driver licence tests are subsequently recorded on eNaTIS. The electronic booking system was prompted by an increasing need for a standardised, uniform and secure learner and driver licence test appointment system (South African Government 2010:Online).

The online booking system further ensures that the DLTC facilities and examiners are utilised optimally, thus alleviating delayed practical driver tests, which resulted in numerous advantages namely:

- The availability of appointment dates is managed by eNaTIS. As a result, officials at DLTCs are not able to give unfair preference to specific applicants.
- Earliest available appointment dates and times are determined by the system as it integrates with the relevant transactions thus streamlining the learner and driver licence appointment and booking processes.
- Available test appointments at a particular Centre are calculated based on the capacity instituted by the Inspectorate of DLTCs. The granted capacity depends on the maximum number of learner and driver licence tests allowed per examiner.
- Additional audit information about the examiners and the applicants they have tested is available for review by the Inspectorate.
- The examiners for driver licences and the management at the DLTC work together to improve a structured work environment that is needed to issue driver licences (Arrive Alive 2017(c):Online).

What driver fitness related policy developments have taken place since 2010?

In 2011, the Eastern Cape Provincial Department of Transport launched the first computerised Learner's Licence Testing Centre in South Africa. The computer-based licence testing allows the prospective candidates to complete their learners' licence tests electronically. The learners' licence tests are administered via computer touch screens which facilitate immediate capturing of the test results on eNaTIS. The questions per test type and the required mark to pass a specific test is maintained on eNaTIS with the result that no two learners will have the same set of questions. At the start of the testing process, each applicant is allocated to a terminal that requests the applicant's fingerprints which is validated against the application details. The system then generates the test questions per terminal randomly and temporarily downloads



the questions to that terminal. The questions are deleted and the terminal locked immediately after the test has been finalised and the answers to the questions verified (Tasima 2013:Online).

With the implementation of computerised learner licence testing in 2011, the learner licence application process was completely automated in selected DLTCs; from the online booking system; computerised completion of the test; and issuing learner licences on eNaTIS. In the same year, the National Planning Commission published the National Development Plan (NDP). The NDP is considered the highest level of summary of the government's overall strategic objectives. The NDP, that informs all the government departments' Medium Term Strategic Frameworks (MTSFs), offers long-term perspectives and aims to eradicate poverty and reduce inequality by 2030. Although driver fitness and the issuing of learner and driver licences is not explicitly mentioned in the NDP, the development and maintenance of an efficient and competitive transport system is listed as one of the key objectives of the South African Government (NLTsf 2015:5; Government of South Africa 2017:Online).

In 2013, a minimum service delivery standard for DLTCs was published for public comment in Government Gazette 36520 on the 31<sup>st</sup> of May. The focus of the standard is to prescribe minimum requirements for service delivery to the applicants for learner and driver licences. The standard aims to streamline customer service that should be rendered in compliance with the *Batho Pele* principles, as identified in Chapter 2, section 2.2.4 (*Service delivery perspective*). More significant requirements built into Government Gazette 36520 of 2013 included that DLTCs are required to sign service level agreements with their relevant provinces and implement complaints management processes (Government Gazette 36520 2013:4 & 5).

The service delivery standard also addresses challenges experienced by customers in accessing and acquiring services, for example, queues formed at the Centres and the location of DLTCs. Moreover, office hours, access to information and how to manage complaints is also described. Customers who are unable to locate a DLTC is addressed by prescribing road and directional signage. At DLTCs, information notices outlining the types of services and their requirements, must be visible to the customers. Furthermore, safety and security at DLTCs is addressed in terms of access control at public and restricted areas including parking areas. With regard to the applications forms for the issuing of driver licences, it is specified that DLTCs must have a 'forms desk' on which the applicable applications forms are available. The forms must be of sound quality, legible and labelled clearly. An assistant should be available on site to help the applicants complete the applicable form(s). In addition to the 'forms desk', a dedicated customer service desk staffed at all times, should also

be available. Minimum standards for adequate space for queuing and average waiting times is also proposed. Waiting areas should be in compliance with occupational health and safety standards, and the ablution facilities should be cleaned regularly and fitted with clear signage. All equipment at DLTCs, that is, office equipment, telephones and computers, must at all times be in sound working order. The staff must be suitably qualified, trained and need to comply with the applicable DLTC's code of conduct (Government Gazette 36520 2013:3 & 7). Customer care at DLTCs is relationship-orientated in that it centres on the interaction between the applicants for driver licences and the staff (Grönroos 2007:30).

Unfortunately, how Chapter IV of the NRTA of 1996 must be implemented is not described in the minimum standard of 2013. Standard operating procedures for the activities that must be undertaken to realise the objectives of driver fitness in the NRTA is still lacking. Consequently, despite the highlighted service delivery standards, official assessments of the status of DLTCs in 2016 by the Department of National Treasury, revealed that more than 21% of all the Centres in South Africa are not compliant with these minimum standards. Moreover, no standard operating procedures have been set for the operational tasks at DLTCs. Policy implementation at operational and administrative level is thus crippled by a lack of methods and procedures to issue driver licences. Therefore, the provision of driver fitness and related licensing and transport services remains a key challenge for the government in the post-apartheid era. One of the reasons for the challenge is the result of dated and rejected apartheid practices that has led to the majority of the citizenry being placed in areas which are largely inaccessible. Consequently, DLTCs still reflect the disparities arising from previous patterns of spatial development created by apartheid. Although DLTCs are situated in urban areas, most are situated a distance from the rural areas. A significant portion of the rural population is therefore still affected by poor availability and accessibility to these Centres (Department of National Treasury 2016:117–142).

Another challenge facing the South African society is the transportation of learners to and from schools. A National Learner Transport Policy of 2015 was drafted to address problems related to the transportation of primary and high school learners by professional drivers. The draft policy was developed by the Department of Transport in collaboration with the Department of Basic Education to address difficulties relating to accessibility and the safety of learners on their way to and from school. The formulation of the learner transport policy was developed in the national transport policy context and was guided by the White Paper on the National Transport Policy of 1996, the National Development Plan and the NRTA of 1996. These challenges comprise aspects ranging from road traffic accidents, use of light delivery vehicles to

transport learners, unlicensed drivers and overloading. With regard to aspects which affect driver fitness in South Africa, professional drivers need to comply with a range of safety measures to transport learners, including specific driver qualifications. No driver is allowed to operate within the learner transport service without a professional driving permit (Government Notice 39314 2015:1,9,10 & 13).

Due to the draft policy on national learner transport, the Departments of Transport and Basic Education are in the process of developing a code of conduct for the affected drivers. It is anticipated that the code of conduct will comprise of details of expected driver behaviour and measures to manage non-compliant drivers, as well as procedures and responses in the case of emergencies such as accidents and theft (Government Notice 39314 2015:21).

The most recent regulating aspect that affects driver fitness and the issuing of driver licences in South Africa, is the adoption of a National Land Transport Strategic Framework (NLTSF) in 2015. The NLTSF of 2015 is a legal requirement set by Section 34 of the National Land Transport Act 5 of 2009, and embodies the national five-year (2015 to 2020) land transport strategy. The purpose of the National Land Transport Act 5 of 2009 is to further the process of transformation and restructuring of the national land transport system. Within this context, the NLTSF provides guidance on transport planning and land transport delivery by delineating strategic priorities that includes the management of transport information systems such as eNaTIS. More specifically, the NLTSF pointed out that eNaTIS needs to provide reliable and accessible driver related information. This aspect highlighted the need for accurate data capturing at DLTCs. With the acceptance of the NLTSF in 2015, the trend towards more sophisticated transport and traffic information systems was reinforced. Therefore, standard operating procedures in the eNaTIS environment needs to accommodate and specify the relevant system processes, online transactions and the applicable electronic equipment and facilities (National Land Transport Act 2009:Sections 1 & 2; NLTSF 2015:i).

This concludes the historical overview of the history of driver fitness in South Africa. The following section addresses significant regulatory institutions in the DLTC and licensing environment.

## **5.5 DRIVER FITNESS REGULATORY INSTITUTIONS**

The Constitution of 1996 stipulates traffic management and public transport legislative responsibilities for the three spheres of government. Transport that includes driver fitness, is a function that is legislated and executed at the national, provincial and local spheres of government. The national Department of Transport is assigned the

responsibility to support traffic management and safety by setting legislative frameworks, and develop road traffic information systems, such as eNaTIS. The Department of Transport plays a largely facilitated and regulatory role in this regard. It formulates the policy and legislative framework which is implemented by the provincial departments, local government and transport agencies. However, the Department of Transport has exclusive responsibility for, amongst other functions, national roads, while the national and provincial transport departments share responsibility for public transport, road traffic regulation and driver licensing. Local government have the responsibility for local roads, driver licensing, traffic and parking (Constitution 1996:Schedules 4 & 5).

It is evident that public transport policy-making is executed at the various spheres of government. The cascading nature of the transport policy consequently leads to national government policy which is generally broad in nature to provide the reference framework within which additional detailed policy is formulated at the provincial and local government spheres. The Department of National Treasury's Intergovernmental Fiscal Review of 2016 (Department of National Treasury 2016:117–120), confirms that the responsibility for transport is divided between the three spheres of government. Therefore, it requires a high level of co-operation among all spheres of government. The national Department of Transport is responsible for formulating the transport policy, while the provincial Departments of Transport is responsible to oversee driver licensing and testing. Municipalities are assigned the responsibility to operate DLTCs on behalf of provinces (NLTSF 2015:2).

### **5.5.1 National Department of Transport**

The Department of Transport's mandate is to maximise the contribution of transport towards reaching the economic and social development goals of South Africa by providing fully integrated transport operations and infrastructure. For this purpose, the Department of Transport is divided into six branches, namely: Administration, Integrated transport planning, Rail transport, Civil aviation, Maritime transport as well as the Public transport branch. The regulation of DLTCs falls within the Public transport branch. This structure enables the Department of Transport to formulate legislation and policy, assign responsibilities to other spheres of government and transport agencies, and to regulate policy implementation by setting minimum standards. As implied above, the Department of Transport has a number of agencies. The agencies that are mandated to deliver transport infrastructure and oversee transport regulation, include, amongst other: Cross-Border Road Transport Agency (CBRTA), Transnet, Passenger Rail Agency of South Africa (Prasa), South African National Roads Agency (Sanral), Airports Company South Africa (Acsa) and the Road

Traffic Management Corporation (RTMC). The RTMC is, for example, expected to enhance co-operation between the three spheres of government with regard to road traffic management and law enforcement. In addition to the transport agencies, the Department of Transport also established the Inspectorate of Driving Licence Testing Centres to monitor the issuing of driver licences at DLTCs throughout South Africa (South African Government 2017:Online). More details of the Inspectorate is provided in the following section.

### **5.5.2 Inspectorate of Driving Licence Testing Centres**

The NRTA of 1996 regulates the appointment of a national inspectorate of DLTCs and stipulates the powers and duties of such an inspectorate which relates to the evaluation and control of the minimum standards, as well as the grading and operations of DLTCs in accordance with the 'Minimum Requirements for Registration and Grading of Driving Licence Testing Centres' published as General Notice 735 on 27 May 2005. Recommendations of the suitability of a Centre for registration as a DLTC as well as the grading thereof is made to the relevant provincial Member of Executive Council (MEC). Following the registration of a DLTC, the Inspectorate conducts at least one inspection per annum to monitor the standards applied at the Centre, and advises it of the improvement and maintenance of the testing facilities. However, as stated in Chapter 3, section 3.6.1.5 (*Monitoring*), previously monitored controls and mechanisms tend to deteriorate over time. Therefore, continuous monitoring by the Inspectorate is required. The Inspectorate relies heavily on the NRTA of 1996 and the NRTRs as amended when conducting inspections at DLTCs. Furthermore, the Inspectorate may suspend or cancel the registration of an examiner for driver licences if it holds that the person is guilty of any misconduct in the exercise of his/her powers. An examiner for driver licences may also be suspended if the person is incompetent to exercise the powers or duties assigned to him/her (NRTA 1996:Sections 3,3E & 11; NRTR 2000:Regulations 97(1) & 93(1)(a)).

During the monitoring of a DLTC, the Inspectorate must provide the assurance that the internal control activities and mechanisms utilised by the Centre is adequate and effective over time. For this reason, a person who acts on behalf of the Inspectorate may at any reasonable time and without prior notice, enter the premises of any DLTC. He/she may then inspect any records and question any person with regard to matters relating to the operation of the Centre. Furthermore, any person representing the Inspectorate may accompany and evaluate an examiner for driver licences in any motor vehicle while the testing an applicant for a drivers licence (NRTR 2000:Regulations 96 & 97).

The Inspectorate aims to investigate matters at DLTCs timeously. Subsequently, internal control weaknesses are addressed by, amongst other, remedial measures, implement document control systems, train DLTC staff on the relevant legislated requirements and repair defective testing equipment. In this way, DLTC management can in collaboration with the Inspectorate identify and address many challenges relating to issuing driver licences. Furthermore, frequent consultation takes place between DLTCs on the local sphere of government, the provincial Departments of Transport and the Inspectorate on the national sphere of government to build credible driver licensing processes (South African Government 2007:Online).

DLTCs are primarily responsible to examine and test applicants for learner and driver licences, and professional driving permits. Nonetheless, what are the requirements for the registration and grading of DLTCs? To answer this question, the structure and scope of DLTCs is discussed in the following section. The remainder of the chapter is devoted to the activities at the operational level of the MM DLTC.

## **5.6 STRUCTURE AND SCOPE OF DRIVING LICENCE TESTING CENTRES**

The structure and scope of DLTCs is discussed in this section with reference to the minimum requirements for the registration and grading of DLTCs as published in Government Notice 27589 of 27 May 2005. The section commences with an explanation of the categorisation of DLTCs before a brief overview of the minimum physical requirements is provided. This discussion is followed by an explanation of the human resource requirements, responsibilities as well as record keeping and reporting requirements.

### **5.6.1 Grading of Driving Licence Testing Centres**

An application for the registration of a DLTC is made in terms of Section 8 of the NRTA to the relevant provincial Department of Transport. The procedures that must be followed is described in Part 1 of Chapter V of the NRTRs of 2000. The Inspectorate of DLTCs is then requested by the MEC to evaluate the Centre and to recommend the appropriate grading thereof. Upon registration, an infrastructure number is allocated to the DLTC by the relevant provincial Department of Transport (NRTA 1996:Section 8; NRTR 2000:Regulation 91,92 & 95).

The grade of a DLTC authorises it to examine and test a person for a learner and driver licence of a specific code, depending on the minimum physical equipment and facilities requirements at the Centre (see below Table 5.1). Six different grades of DLTCs, ranging from grade A to F, is identified in Government Notice 27589 of 2005. Grade A represents the highest grade, whilst grade F the lowest. A grade A rating

authorises a DLTC to test a person for a learner and driver licence of any code, including motorcycles, while grade B DLTCs are authorised to examine and test any learner and driver licences excluding motorcycles. A grade C rating authorises and equips the applicable DLTC to examine a person for a learner and driver licence for motorcycles as well as motor vehicles, but below 3 500kg. Grade D DLTCs is limited to only test applicants for learner and driver licences for motor vehicles below 3 500kg but not motorcycles, while the grade E DLTC is limited to only issue learner licences. A grade F DLTC is limited to substitute driver licences in identity documents, that is, driver licence cards (Government Notice 27589 2005:5; NRTR 2000:Regulation 95). Minimum requirements linked to each grade of DLTC is illustrated in Table 5.1 below:

**Table 5.1: DLTCs grades and minimum physical requirements**

MINIMUM PHYSICAL REQUIREMENTS								
DLTC grade	Vision testing apparatus and facilities	eNaTIS computer system	Electronic motorcycle testing apparatus	Facilities for learner's licence tests	Yard test facilities			Road test
					Light motor vehicles	Heavy motor vehicles	Motor cycles	
<b>A</b>	✓	✓	✓	✓	✓	✓	✓	✓
<b>B</b>	✓	✓		✓	✓	✓		✓
<b>C</b>	✓	✓	✓	✓	✓		✓	✓
<b>D</b>	✓	✓		✓	✓			✓
<b>E</b>	✓	✓		✓				
<b>F</b>	✓	✓						

**Source:** Adapted from Government Notice 27589 of 2005 (Government Notice 27589 2005:5).

### 5.6.2 Human resource requirements and responsibilities

With regard to the personnel requirement, each DLTC must employ a management representative to supervise the daily activities at the Centre and at least one appropriately registered and appointed examiner for driver licences. The minimum requirements for the examiner must reflect the applicable grade of that DLTC, for example, a grade A DLTC must appoint at least one registered and appointed grade A examiner for driver licences, while a grade B DLTC has the option of a grade A or B examiner. Another requirement is that an examiner for driver licences must be in possession of a professional drivers permit when conducting any driver test in instances if a professional driving permit is required for the driver of such a vehicle. Furthermore, every DLTC needs to employ, amongst other, support staff, eNaTIS cahiers, administrative clerks, a Helpdesk officer and filing clerks. Applications for the

registration of eNaTIS officers must be submitted to the applicable provincial government as prescribed by Regulations 1D and 1E of the NRTRs of 2000 (NRTA 1996:Section 103; NRTR 2000:Regulations 1D & 1E).

As stated above, every DLTC must appoint a management representative who serves on the middle management level and is the direct link between lower and top management. Moreover, the management representative works closely with DLTC staff who reports directly to him/her at operational level. He/she needs to be trained and be fully conversant with the policies, procedures and eNaTIS transactions to issue learner and driver licences, including professional driver licences. A management representative also needs to ensure that the DLTC complies at all times with the requirements of the regulatory environment, and that any form of malpractice or violation of the relevant legislation is reported to the Inspectorate of DLTCs. Furthermore, a management representative must oversee the internal control mechanisms at operational level and ensure that the eNaTIS transactions are conducted appropriately and road traffic legislation is complied with before any licence or permit is issued (Government Notice 27589 2005:7).

Statistics about learner and driver licences, the total examiners for learner and driver licences as well as the type and number of tests and examinations conducted, must be kept meticulously at DLTCs. More details hereof is discussed below.

### **5.6.3 Record keeping and reporting requirements**

In brief, statistics relating to the number of learner licences applied for, total written and oral tests conducted, number of applicants who passed as well as those who failed, must be recorded. With regard to drivers licence statistics, the number of driver licences applied for, the total number of applicants who were tested, number passed, number of applicants failed or who did not to turn up, as well as the number of tests deferred, must be recorded accurately (NRTA 1996:Section 77(1)). Fortunately, these statistics are available electronically and readily accessible. However, the accuracy of these records depends on the reliability of the data captured by the eNaTIS cashiers. For this reason, the need for internal control mechanisms, such as training, supervision and authorisation, increases.

In the following section, the MM DLTC will be discussed. An overview of Madibeng Municipality is provided with specific focus on DLTC.



## 5.7 DRIVING LICENCE TESTING CENTRE: MADIBENG MUNICIPALITY

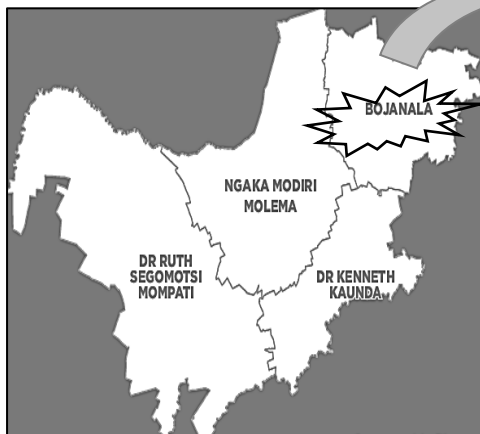
An overview of the geographical position and the organisational structure of the Madibeng Municipality is provided followed by an explanation of the methods and procedures for driver fitness and internal control mechanisms at the MM DLTC.

### 5.7.1 Madibeng Municipality

Madibeng Municipality, a Category B municipality, is one of five local municipalities in the Bojanala Platinum District Municipality, one of four district municipalities in the North West Province. The five local municipalities in the Bojanala Platinum District Municipality include: Madibeng, Rustenburg, Moses Kotane, Kgetleng-Rivier and Moretele. The Madibeng Municipality is demarcated into 41 wards and the Municipal Council comprises of 72 Councillors, of which ten are members of the Mayoral Committee, a full-time Speaker, Chief Whip and Executive Mayor (Local Government Handbook: South Africa 2017:Online).

Figure 5.1 illustrates the district municipalities in the North West Province as well as the local municipalities in Bojanala Platinum District Municipality:

**Four district municipalities  
of the North West  
Province:**



**Five local municipalities of  
the Bojanala Platinum  
District Municipality:**



**Figure 5.1: Local municipalities of the North West Province**

**Source:** Madibeng Municipality (2017(a):Online).

The Madibeng Municipality is located centrally between Pretoria and Rustenburg, and is accessible through the primary road network which connects the North West Province to Gauteng and the Limpopo Province. The municipality is located in a predominantly rural area with a limited revenue base which serves an estimated household complement of 200 000 households. Madibeng comprises of several urban and rural areas, villages, farm portions, as well as a proper established and serviced industrial area (Madibeng Municipality 2017(b):Online).

The Madibeng Municipality is facing rapid development and growth which implies that while there is infrastructure that requires continued maintenance and rehabilitation, there is a huge demand to cater for previously under-served areas. This requires significant resources and as such, the municipality's financial strategy is based on strict financial reform. Moreover, the municipality is characterised by huge backlogs in service delivery and a large number of households that do not have direct access to electricity, clean water and sanitation. To compound these problems, the municipality also faces the non-payment of services. The backlog in service delivery and the non-payment of services places undue pressure on the financial status of the municipality. This results in limited resources available to address and respond to the needs of the citizens of the municipality. The DLTC that falls under the Directorate of Public Safety, Fleet and Facilities Management, is not exempted from these challenges. The influx of learner drivers from areas outside the municipal area is one of the challenges experienced by the DLTC. As a result, additional learner licence tests need to be scheduled. The DLTC staff often work extra hours to meet the high number of applicants. Moreover, insufficient resources has limited the DLTC's capacity to consistently fulfil its role and responsibilities (Madibeng Municipality 2015:Online).

### **5.7.2 Functioning of Madibeng Municipality Driving Licence Testing Centre**

The MM DLTC is registered and graded as follows by the North West Provincial Government in terms of Section 24 of the NRTA of 1996:

<b>Registered name</b>	:	Madibeng Municipality Driving Licence Testing Centre
<b>Infrastructure number</b>	:	00012152
<b>Grading</b>	:	Grade A
<b>Physical address</b>	:	Bernard street, Brits

**Source:** Lelaka (2017(a))

The Centre is equipped and authorised to examine and test applicants for learner and driver licences of any code; substitute a driver's licence of any code with the new format driver licence card; and issue new and duplicate learner licences, driver licence cards, and professional driving permits. Standard operating procedures for the Centre must subsequently be founded and based on the provisions of the NRTA of 1996 and the relevant NRTRs. As stated in Chapter 2, section 2.2.3 (*Legal perspective*), from a legal perspective, the newly developed standard operating procedures thus need to become law in action and enforce delegated legislation (Vigoda 2002:3). Furthermore, the developed standard operating procedures need to be service orientated because the staff conduct is supportive of the *Batho Pele* principles.

Methods and procedures for driver fitness is considered in the following sections by focusing on learner and driver licences, including professional driver permits. It is, therefore, necessary to summarise the definitions of the concepts 'method' and 'procedure'. As defined in Chapter 1, section 1.6.3.1 (*Methods and procedures*) a procedure is a series of consecutive steps created for the realisation of a particular task. As in every institution, several tasks or activities at the MM DLTC at operational level is divided into procedures in an attempt to reduce its complexity. Furthermore, a method refers to a particular step of a procedure (Cloete and De Coning 2011:126). At the DLTC, complex tasks are often subdivided into particular procedures, which are in turn subdivided into particular methods for each step of the procedure. In this manner, DLTC staff can fill posts that require considerably less expertise than would otherwise be required.

### **5.7.3 Methods and procedures for driver fitness**

This section explores operational practices at the MM DLTC to determine and implement standard operating procedures at the Centre. As advised by the Inspectorate of DLTCs, the relevant legislation served as a basis to develop the standard operating procedures (Mbele 2017). This section, therefore, describes the legislative requirements for learner and driver licences, including licences and professional driver permits with the aim of identifying the need and role of standard operating procedures in practice. The organisational structure of the MM DLTC, the staff composition and any existing processes were considered while developing the procedures.

#### **5.7.3.1 Application for and issuing of learner's licence**

A learner's licence is a pre-requisite to acquire a driver's licence and proves that an applicant has basic knowledge of motor vehicle controls, road traffic signs and the rules of the road. A learner's licence allows a learner driver to practise on a public road

(NRTR 2000:Regulation 102). Methods and procedures form an integral part of all the operational tasks relating to applications for, and the issue of learner licences. The primary tasks, methods and procedures are subsequently described.

An examiner for driver licences conducts the licence tests. Before the test, the examiner must verify that each applicant complies with the legislated requirements. An 'Application for Learner's Licence' form must be completed in full and, in the case of an applicant being over 65 years, a 'Medical Certificate' form must accompany the application. A valid identity document or acceptable identification, duplicate identity photographs and an eNaTIS receipt that confirms payment upon application must also be attached to the application. Furthermore, proof of residential address, for example, a utility account, and fee to issue a learner's licence is also required (NRTR 2000:Regulations 102 & 103).

Defective vision disqualifies a person from acquiring a learner's licence. Thus, in addition to the above-stated requirements, the examiner should conduct an eye test to establish whether the applicant complies with the minimum visual acuity according to the applicable Snellen rating as well as the minimum visual field per code of a learner's licence. A Live Capture Unit (LCU) system is used for this purpose. Furthermore, any medical conditions, such as uncontrolled epilepsy, mental illness or uncontrolled diabetes mellitus also disqualifies an applicant from acquiring a learner's licence. An applicant whose health restricts him/her from holding a specific code of learner licence must, therefore, submit a medical certificate in addition to the above requirements (NRTA 1996:Section 15; NRTR 2000:Regulation 102).

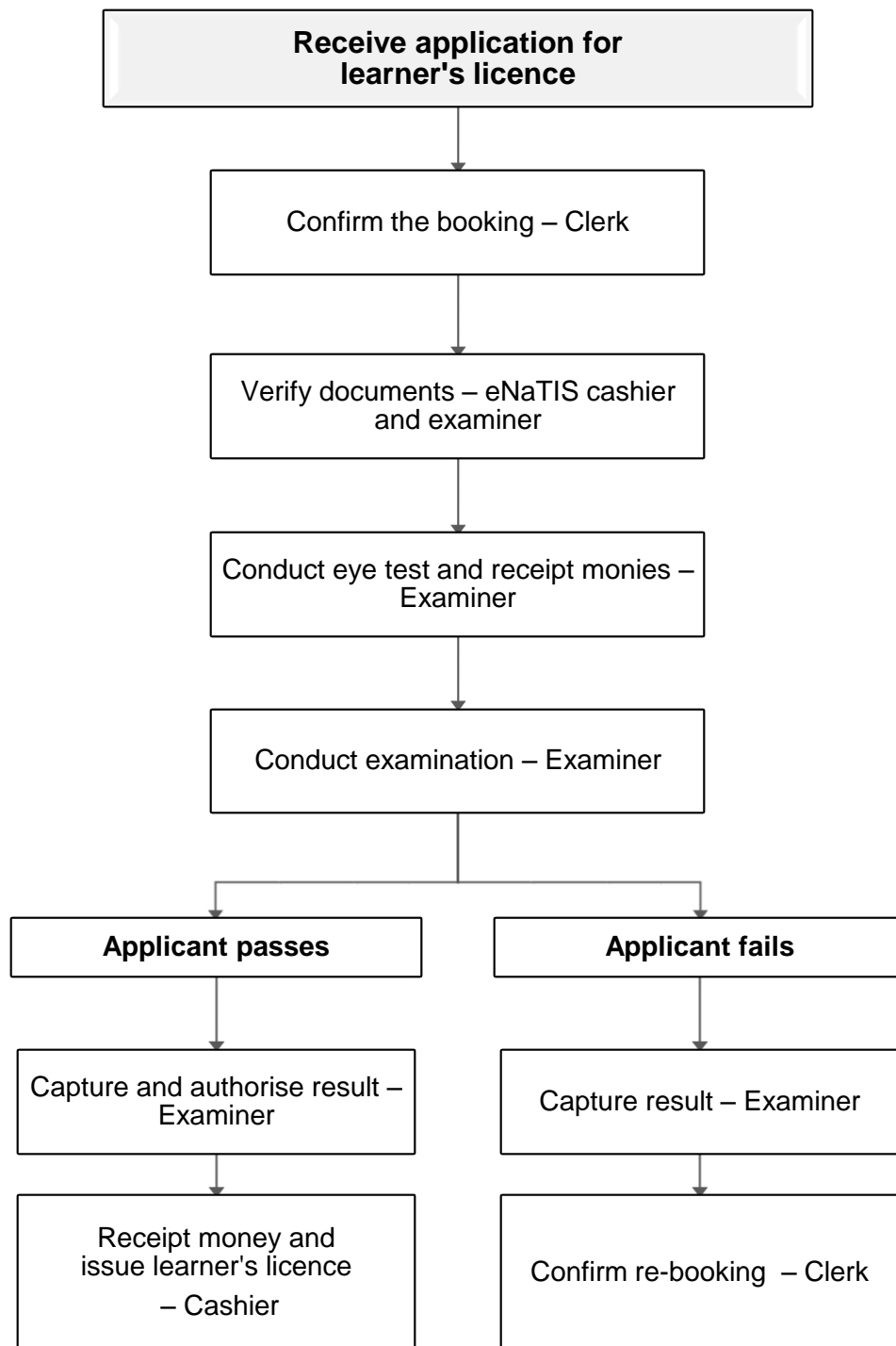
An applicant for a Code 1 learner's licence has to be 16 years or older on the date of the test, 17 years or older for a Code 2 learner's licence, and at least 18 years on the date of the test for a Code 3 learner's licence (NRTA 1996:Section 15). The following categories of learner licences and the corresponding classes of motor vehicles is prescribed in Regulation 99(1) of the NRTRs of 2000:

- Code 1: A motor cycle.
- Code 2: Any combination of motor vehicles with a tare less than 3 500kgs.
- Code 3: Any motor vehicle or combination of motor vehicles other than a motor cycle.

A learner's licence is valid for 24 months and cannot be extended. While driving, a holder of a learner's licence must at all times be accompanied by and under the direct personal supervision of a person who is in possession of an applicable drivers licence (NRTR 2000:Regulations 99 & 101). Applicants for learner's licences are tested and examined at the MM DLTC by means of an approved 'Theory Test for Learner's Licence' form. The examiner for driver licences who conducts the learner's test also authorises and issues the learner's licence should the applicant pass the test. The MM DLTC also allows appropriately authorised individuals to take an oral test to acquire a learner's licence if he/she is illiterate and with permission from the MEC of the Department of Transport in the North-West Province (NRTR 2000:Regulations 104 & 105).

When re-visiting the above-described regulations, alarms are raised against red tape due to the excessive fixed regulations. Care should thus be taken to prevent implementing cumbersome standardised procedures that only benefit the officials while excluding the applicants, for example, shorter queues and quicker and effective service delivery at the customer service desk at the DLTC (LeMay 2006:9 & 118).

To simplify the explanation of the rules and regulations that must be complied with, Figure 5.2 below illustrates the process followed at the MM DLTC when an applicant applies for a learner's licence that is, confirming the booking submitting documentation, conducting the eye test, as well as authorising and issuing the learner's licence:



**Figure 5.2: Process of issuing learner's licence**

**Source:** Based on Section 17 of the NRTA of 1996, and Regulations 101 to 105 of the NRTR of 2000.

Figure 5.2 above illustrated the requirements in NRTRs 101 to 105 in the form of a process. The fewer methods and procedures there are at the Centre, the more flexibility and freedom the staff will have (Cloete & De Coning 2011:126). However,

based on the process followed for learner licences, it became clear that the MM DLTC requires the following standard operating procedures to issue driver licences to serve as directive guidelines of how DLTC staff should act:

- Learner's licence test applications.
- Conducting learner's licence tests.
- Testing and examining an applicant for a learner's licence.
- Issuing learners' licences.
- Issuing duplicate learners' licences.

These procedures cannot exist as stand-alone processes, but rely profoundly on the interdependent involvement of other processes, functions and role-players, as well as frequent feedback from within and outside the Centre and the Municipality. The procedures, therefore, guide the actions and behaviour of DLTC staff when interpreting and executing not only Regulations 101 to 105 of the NRTR of 2000, but also other Regulations pertaining to driver fitness (Reddy & Govender 2014:159 & 160). Without these standardised procedures, there would be a lack of service delivery by the officials which would not be coordinated towards reaching the goals set for learner driver fitness. As previously stated, the attached standard operating procedures may be utilised as examples when developing standardised procedures to issue learner licences.

Applications for, and the issuing of driver licences is explored in the following section.

#### **5.7.3.2 Application for and issuing of driver licences**

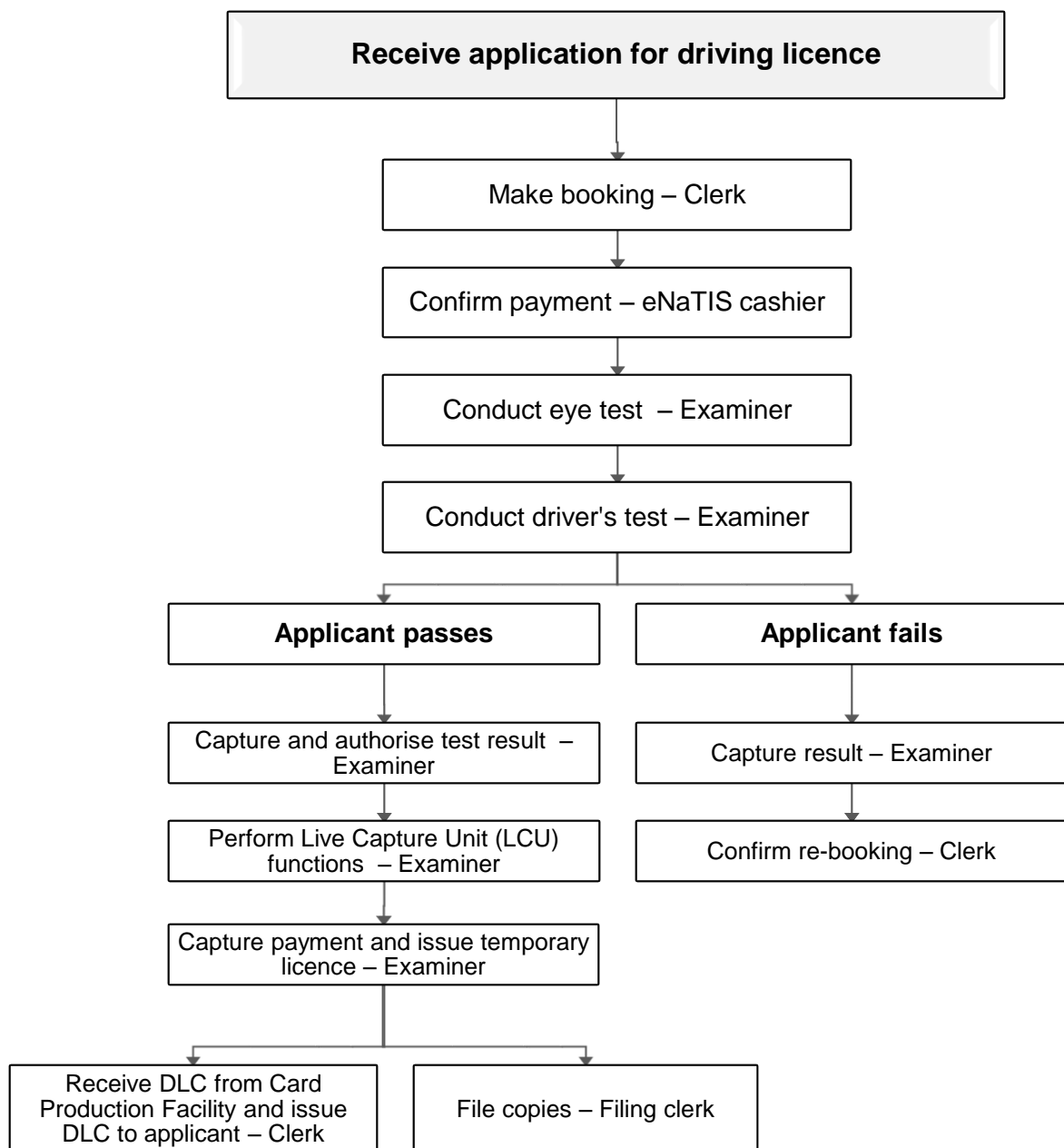
Any person who drives a motor vehicle on a public road in South Africa must be in possession of a valid driver's licence. Driver licences are issued to applicants who are in possession of learner's licences, and passed a physical driving test for a specific code of licence. The drivers licence codes in South Africa are based on the European Unified Driving Licence system, and are categorised as code A (motor cycles), code B (light motor vehicles up to 3 500kg gross vehicle mass (GVM)), code C (heavy motor vehicles) and code D (combinations, including articulated vehicles). Nonetheless, the driver licence system is more complex than only four codes. A distinction is also drawn between the class of vehicles that involves differentiation between rigid vehicles with two axle sets, and those which draw trailers above 750kg GVM. Furthermore, drivers with certain driver licences are also authorised to drive other classes of vehicles. For example, the holder of a code C1 drivers licence is permitted to drive a heavy goods

vehicle up to 16 000kg GVM but needs an EC1 licence in order to pull a trailer heavier than 750kg GVM (Foresight publications 2017:Online; NRTR 2000:Regulation 99(4)).

An applicant for a drivers licence must be examined and tested by an examiner for driver licences according to the K53 drivers licence test (NRTR 2000:Regulation 107). With regard to the MM DLTC, the examiner for driver licences who conducts the test, verifies before the test commences that the applicant completed the 'Application for Driving Licence' form and is in possession of a valid original learner licence attached to the application. As in the case of applications for learner licence tests, four identical photographs of the applicant and the eye tests results must accompany the application form. Furthermore, the eNaTIS receipt confirms payment by the candidate driver. A medical certificate must be produced by an applicant over 65 years of age and by an applicant whose health restricts him/her to hold a specific code of driver licence. Moreover, a vehicle is required for the physical drivers test (NRTR 2000:Regulations 106 & 107). Once the applicant complies with the minimum requirements, the examiner ensures through observation, inquiry and a practical test that the person knows and understands the road traffic signs and that he/she has a sound knowledge of the rules of the road and the relevant road traffic signals. Should the applicant pass the test, the examiner authorises the applicable code of licence. If an applicant fails or absents him/herself for the practical drivers licence test, the examiner notes it as such. A copy of the test report is handed to the applicant (NRTR 2000:Regulations 106–108).

Figure 5.3 below illustrates the process that must be followed to issue a drivers licence as prescribed by Regulations 106 to 112A of the NRTA of 1996:





**Figure 5.3: Process of issuing drivers licence**

**Source:** Based on Section 18 of the NRTA of 1996, and Regulations 106 to 112A of the NRTR of 2000.

At the MM DLTC, drivers licence cards are ordered directly from the card production facility. As part of the routine tasks at the DLTC, upon receipt of the drivers licence

card, the responsible clerk ensures that the card was manufactured correctly. If so, the clerk forwards a notification to the applicant to collect the card and subsequently issues it to the driver upon collection thereof, after which the counterfoil is filed (NRTR 2000:Regulation 108). A driver's licence issued in terms of Section 18 of the NRTA of 1996 is valid indefinitely, unless it is suspended or cancelled. However, a driver's licence card is only valid for five years (NRTR 2000:Regulation 108(5)(a)). Should a person's drivers licence card be stolen, lost, destroyed or defaced, a temporary one valid for a period of six months may be issued to the applicant (NRTR 2000:Regulation 100).

The many processes involved in issuing a drivers licence must be firmly coordinated to improve workflow at the Centre. As stated in chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*), streamlined methods and procedures in the form of standard operating procedures result in better utilisation of resources and increased productivity. Furthermore, according to Alvarez and Hall (2008:830), the advantage of using standard operating procedures to issue driver licences is that it ensures the DLTC staff members work together as a team when applications are received, test the applicants and authorise the issue of driver's licence. As a result, and with the above requirements in mind, it is clear that the MM DLTC requires the following standard operating procedures to issue driver licences:

- Pre-screening documents.
- Booking or confirming drivers licence tests.
- Using the Image Capturing System.
- Issuing drivers licences.
- Renewing or issuing duplicate drivers licence cards.
- Issuing temporary drivers licences.
- Making changes to a person's particulars.
- Receiving drivers licence cards from the card production facility.
- Handling the collection of drivers licence cards by clients.
- Filing drivers licence related documents.

The primary disadvantage of developing and subsequently implementing the above-listed standardised procedures is that it would not allow opportunities for extensive deviation because it inhibits individual judgment. As Nzewi (2013:15) stated, standard operating procedures unfortunately encourage conformist behaviour. Scott

(2010:108,109 & 112) also added that should any circumstances within the area of work change to such an extent that the procedures no longer produce desired results, these become ineffective.

The following section provides a brief outline of the requirements and the processes related to issuing professional driver permits.

#### **5.7.3.3 Application for and issuing of professional driver permits**

Professional driver permits are issued to persons who already hold a drivers licence and who operate a bus, breakdown vehicle, a goods vehicle weighing over 3 500kg or a vehicle to transport people for reward. Drivers who operate a goods vehicle carrying dangerous goods also need to hold a professional drivers permit. An applicant can only get a professional driving permit if he/she has a valid driver's licence for the type and class of vehicle in question, is over the required age limit and certified as medically fit by a doctor. The following age restrictions apply to the different professional driver permit categories (NRTR 2000:Regulations 116 & 117):

- Category G (goods): The applicant must be above 18 years.
- Category P (passengers): The applicant must be above 21 years.
- Category D (dangerous goods): The applicant must be above 25 years.

Another requirement is that the applicant must not have been convicted of any of the following: (1) driving under the influence of alcohol, (2) reckless or negligent driving or (3) convicted of a violent offence. For this reason, a SAPS clearance is required to establish whether an applicant has any related charges or criminal offences as stipulated in Regulation 117(c) of the NRTR. Furthermore, an application for a dangerous goods professional driver permit (category D), must be accompanied by a certificate acquired from an approved training institution (NRTR 2000:Regulations 115,118 & 122).

Standard operating procedures for applications and issuing of professional driver permits should comprise the following:

- Processing professional driving permit applications.
- Provisionally authorising professional driving permits.
- Authorising professional driving permits.

Once developed and implemented, these standard operating procedures will lead to an increase in internal process control at the Centre, as advocated by Tosi (2009:134). As stated in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*), methods and procedures at the MM DLTC will communicate information at operation level to employees so that they understand what, when and how to perform their official duties through standardisation and traceability (Barbosa, *et al.* 2011:132). To reach these and other benefits and to evade the negative connotation of red tape, the standard operating procedures must be designed in a systematic manner by consulting the relevant role-players and optimising available information so that the DLTC's purpose of effective and efficient driver fitness is achieved.

This concludes the section on the discussion of issuing learner and driver licences, and professional driver permits. In summary, the daily operations at the MM DLTC comprises of a range of administrative and managerial tasks, responsibilities, and processes that must be followed, including eNaTIS transactions. Internal control mechanisms should be implemented to manage the tasks and responsibilities at operational level.

#### **5.7.4 Internal control mechanisms at the MM DLTC**

Internal control ensures oversight, review and provides reasonable assurance that organisational objectives will be achieved while complying with applicable laws and regulations (Diamond 2016:374 & 379). Internal control at the MM DLTC comprise manual and electronic systems as well as the procedures and processes implemented to minimise the risks to which the Centre might be exposed. The range of internal control mechanisms described in Chapter 3, section 3.7 (*Internal control mechanisms*), is discussed in this section as applied at the MM DLTC. The implementation of the following internal control mechanisms at the Centre was confirmed and verified by the management representative is expounded upon in Chapter 6, section 6.5.3 (*Quality of internal control system components*). The following internal control mechanisms may thus be used to enhance the implementation of standard operating procedures at the MM DLTC.

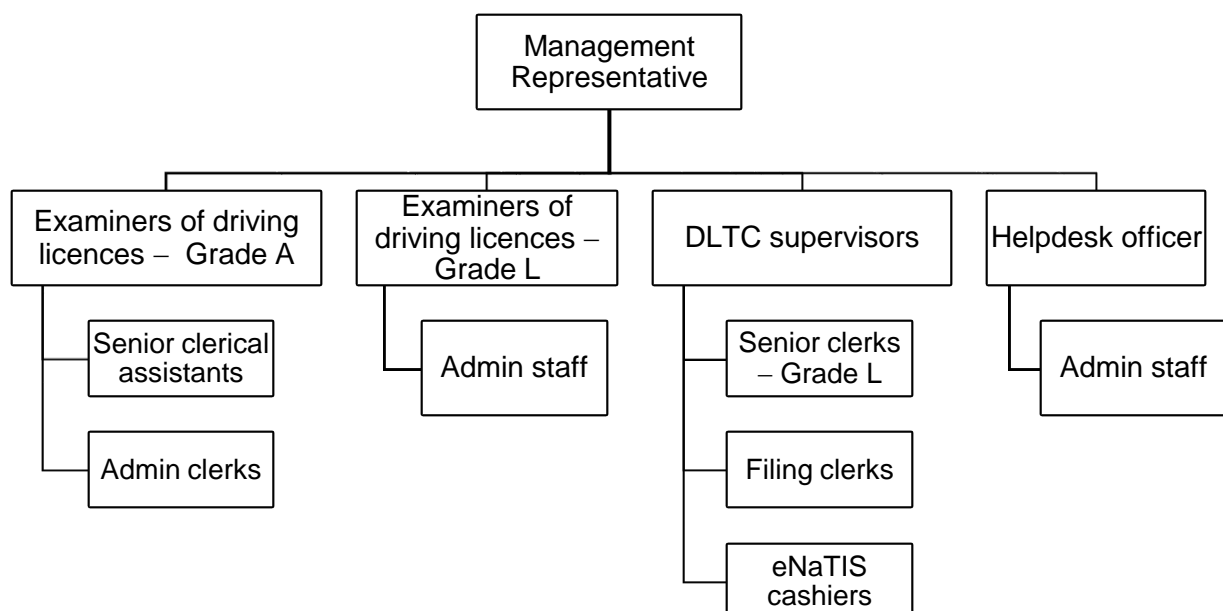
##### **5.7.4.1 Organisational structure**

The prerequisites for the functioning of a DLTC in Government Notice 27589 of 2005, standardised the minimum requirements nationally, and assisted DLTCs to build and design their organisational structures. Organisational structure refers to the way in which employees and posts are structured at DLTCs to facilitate such work processes. Employees are managed through organisational structures to streamline the institutional operations and administrative tasks. Furthermore, resources are

controlled and appropriately assigned to various sub-units within the organisational structure where it should be utilised effectively by eliminating unnecessary wastage (Government Notice 27589 2005:2–4). The organisational structure of the MM DLTC provides a clear chain of command and defines which employee report to which supervisor. The existing organisational structure arranges the essential activities and the expertise knowledge of the staff per area of specialisation, as well as creates clear reporting lines to and from the management representative. The structure assists the management representative to utilise the individual employee's skills effectively, which ultimately helps him/her to achieve the DLTC's objectives. The DLTC staff, including the management representative, subsequently know their responsibilities, because they are aware of what is required of them (Kgomo & Plant 2015:90).

In the organisational structure, staff members are classified according to the function they perform. Each staff member has its own head/supervisor to assist controlling the quality and uniformity of performance. Operational activities are thus co-ordinated among various staff members, namely: the management representative, examiners for driving licences, DLTC supervisors, helpdesk officer, administrative clerks, filing clerks and eNaTIS cashiers.

**Figure 5.5 below illustrates the organisational structure at the MM DLTC:**



**Figure 5.4: Organisational structure of the MM DLTC**

**Source:** Madibeng Municipality (2017(b):Online).

It is evident from the above illustrated organisational structure that the employees do not have to report to multiple supervisors, which reduces the number of communication channels. Moreover, possible duplication of work is limited because each employee has a fixed job responsibility. However, the primary disadvantage of the organisational structure is that the employees may feel bored due to the monotonous, repetitive type of work and may lose enthusiasm for the job (Kgomo & Plant 2015:90; Mofolo 2015:889 & 890). To mitigate these risks, separate steps within particular tasks are allocated to different employees as described in the following section.

#### **5.7.4.2 Segregation of duties**

As stated in Chapter 3, section 3.7.2 (*Segregation of duties*), segregation of duties implies that a single individual does not have sole authority over one task. In the MM DLTC, sharing a single task between more than one individual, is an internal control mechanism intended to inhibit errors in issuing driver licences (Mtshali & Ntlosi 2014:26; Visser & Erasmus 2015:279). An example of how the segregation of duties is practiced at the MM DLTC follows below.

With regard to the procedures for the learner licence test applications, the clerk is responsible to ensure that the information and documents supplied is correct, while the examiner identifies the applicant and ensures that the eye test is conducted correctly. The eNaTIS cashier is responsible for capturing the application information on eNaTIS. Furthermore, the management representative ensures that all the learner licence test material is signed out to the examiner conducting the learner licence test. The examiner conducting the test, must ensure that the applicant meets the requirements set in the K53 test. Should the applicant pass the test, the examiner authorises the issuing of the licence while the eNaTIS cashier receives and processes the payment. Thereafter, the filing clerk sorts, files and labels the relevant documentation. During this entire process, the supervisor oversees the clerks and cashiers work. As a result, at least six individuals are responsible for the separate parts of the task relating to the application for a learner licence and the issuing thereof.

However, supervisory review of work does not replace the need for the segregation of duties (Kent State University 2017:Online). The supervisors and the management representative is responsible to regularly regulate the staff's activities. Furthermore, any form of malpractice or violation at the DLTC must be reported to the North West provincial Department of Transport and the Inspectorate at DLTCs. The management representative is required to identify suspicious acts of misconduct, and also report such to the municipality's management (Government Notice 27589 2005:9 & 10).

#### **5.7.4.3 Written policies and procedures**

Methods and procedures, including standard operating procedures, are drafted and implemented as directives of how to execute tasks and responsibilities in compliance with legislation (Alvarez & Hall 2008:830). As such, standard operating procedures in the DLTC environment focuses primarily on adherence to the NRTA of 1996 and the NRTRs of 2000. The standard operating procedures developed for the MM DLTC, are grouped as follows: 1) Administration and enquiries; 2) Learner's licences; 3) Drivers licences; 4) Professional driving permits; 5) Cashiering and balancing; 6) Supervision; 7) Management representative functions. This structure is based on the division of work at the MM DLTC. However, barriers may be experienced with the implementation of the procedures, such as (Thornhill 2012:260-262):

- Difficulties in understanding and interpreting the complexity of the steps.
- DLTC staff afraid of the element of uncertainty that may result in officials adhering to tried and trusted habits at the Centre.
- Ignorance and misconceptions that encourage antagonism and negativity towards change.

As an attempt to surpass certain barriers, reference is made in the standardised procedures of the relevant legislation and the applicable application form(s), because each application at the MM DLTC should be accompanied by an application form and the required supporting document(s). Consequently, a wide variety of forms and documents are completed and checked for accuracy on a daily basis. The learner licence documents and forms must be kept for at least five years and driver licence documents for a minimum of ten years. Before destroying any documentation, it needs to be saved and stored in electronic format (Government Notice 27589 2005:10). All official source documentation is kept, protected and locked in a secure place that inhibits unauthorised access. Furthermore, the learner and driver licences documentation is filed separately in alphabetical order based on the day of the eNaTIS transaction. Standard operating procedures for filing learner and driver licence-related documents is required. Other administrative enquiries related to procedures include managing enquiries and supply information, pre-screen application forms and retain statistics.

## **Fundamental elements and template for development of standard operating procedures**

The drafted standard operating procedures included at the end of the chapter, was developed according to a standard format or template that reflects the subject, purpose, responsibilities and related forms and documents as essential information per procedure. Reference to legislation, policies, required facilities and equipment, and any additional information was also included before the standardised procedures and variations to the procedures was listed.

The template for standard operating procedures is illustrated in Table 5.2 below.

**Table 5.2: Template for standard operating procedures**

<b>SUBJECT</b>		<b>PROCEDURE NUMBER</b>	
<b>Purpose</b>			
<b>Responsibilities</b>			
<b>Related documents</b>			
<b>Legislation/Policies/Departmental instructions</b>			
<b>Facilities and equipment</b>			
<b>Standard procedure</b>			
1			
2			
3			

**Source:** Tidasa (2009:9-15)



Physical and mechanical control mechanisms must be implemented to safeguard not only the documents and application forms, but also other resources and facilities at the DLTC. Physical and mechanical control mechanisms are thus elaborated on in the following section.

#### **5.7.4.4 Physical and mechanical control**

As stated in Chapter 3, section 3.7.4 (*Physical and mechanical control*), the physical and mechanical aspects of internal control include the custody of assets and security measures to limit unauthorised access (Pickett 2001:155). However, the type of physical or mechanical control depends largely on the asset to be protected and any associated risks. To protect a range of assets at DLTCs, such as computers, network cables, sensitive information, employees and the public against possible dangers, the MM DLTC embarked on security officers and access control registers at the entrances to the Centre, security guards at the main gate and in the building, CCTV cameras and fire extinguishers. Emergency exit routes and plans are also displayed on site. Apart from the physical security control measures, the MM DLTC also complies with the following minimum technological and physical requirements: (1) vision testing apparatus and testing facilities; (2) online eNaTIS computer system; (3) laser printers; (4) learner licence test facilities; (5) yard test facility; (6) road test routes; and (7) an contemporary National Road Traffic Act 93 of 1996 and Regulations (Government Notice 27589 2005:5-8).

The guidelines included in Government Notice 27589 of 2005 verify and establish the following control components at the MM DLTC:

- Legislated provisions for the learner's licence test facilities are generally adhered to. The test rooms in which the learner's tests is conducted is kept clean and well ventilated to allow the applicants to take the tests without discomfort or interruptions. The tables and chairs are in relative good condition and positioned in such a manner to allow the invigilator to move freely. Furthermore, a wall clock displays the correct time. The test material utilised for the learner's licence tests is treated as confidential and locked in a safe place when not in use. Clearly marked answer masks for the tests are kept locked and confidential, and only qualified examiners for driver licences has access to the test material (Government Notice 27589 2005:7 & 8).
- The applicants for learner and driver licences are tested per appointment. The appointment registers are kept electronically in which every learner and driver licence application is entered. The appointment registers reflect the date and time of the appointment, the applicant's initials, surname and ID number, the code of licence applied for, as well as the receipt number of payment for the

application. As a rule, tests are only deferred in exceptional cases as prescribed. No changes are allowed to be made in the appointment register, and the deleting of information or the use of correction fluid is not acceptable. The appointment registers are kept for at least ten years (Lelaka 2017(a); Government Notice 27589 2005:9 & 10).

When reviewing the above described physical and mechanical control mechanisms, it became clear that standard operating procedures to manage access control, facilities and test material for learner licence tests, and maintain appointment registers, must be developed by, or for the MM DLTC. However, safeguarding the working environment also implies protecting the organisation against unauthorised tasks. Authorisation and approval as an internal control mechanism is discussed in the following section. Meticulous authorisation and approval often serves as a stamp of approval in terms of public accountability.

#### **5.7.4.5 Authorisation and approval**

It was stated in Chapter 3, section 3.7.5 (*Authorisation and approval*), that the approval of a task refers to the process utilised by a supervisor or manager to verify whether the employee who initiated a certain task, had the right to execute that task and then, if appropriate, granting that employee permission to complete the task (Diamond 2016:376). Authorisation and approval as an internal control mechanism is not implemented differently at the MM DLTC, and does not take place in isolation. The management representative, supervisors and the banking clerk work together to authorise eNaTIS transactions and approve the relevant actions. Without standard operating procedures, a diverse range of authorisation and approval tasks and processes would not be coordinated. General authorisation and approval responsibilities ensure that the Centre's money is accounted for, unauthorised transactions speedily identified, relevant eNaTIS reports generated, and the submitted forms and documents suitably verified. Authorisation and approval procedures in place at the DLTC ensure positive and meaningful relations and liaison with the North West provincial Department and the national Department of Transport (Lelaka 2017(a)).

Specific requirements for authorisation and approval at DLTCs include the following examples. Authorisation and approval at the MM DLTC begins at the initiation phase of an eNaTIS transaction when the cashier performs the necessary enquiry transaction to confirm the validity of an application. The cashier then compares the information on the documents with that on eNaTIS, and a printed eNaTIS enquiry serves as proof of the eligibility of the application. Other authorisation and approval tasks include the helpdesk officer who verifies requests forwarded to the provincial helpdesk for

resolution. The validity of all supporting documents must be checked to ensure that there are no unauthorised alterations, company letters appear on the appropriate letterheads, and the affidavits are relevant. Besides these trivial tasks, authorisation and approval as a control mechanism also requires the DLTC supervisors to bring any suspicious or illegal documents and erroneous eNaTIS transactions to the attention of the management representative. The management representative must accordingly identify these transgressions in which case SAPS clearance and investigation is required. Another example of how authorisation and approval is implemented at the MM DLTC is discussed below.

A highly sensitive transaction at the MM DLTC is the cancellation of erroneous or incorrectly recorded payments on eNaTIS. This transaction is classified as high risk because it has the potential to conceal loss of income due to theft, fraud or corruption. For this reason, the management representative plays a major role in authorising, approving and granting permission to continue and complete payment cancellations. To ensure that a cancelled payment is accounted for, the management representative must identify the reason for the cancellation as being appropriate and acceptable. After determining that the payment was indeed incorrectly recorded, the management representative summarises the reasons for the cancellation at the back of the relevant face value document and cancels the latter and supporting documents. The cancelled document(s) is eventually attached to the applicable cashier's balance sheet. It is ultimately the management representative's responsibility to ensure that the payment is cancelled correctly on eNaTIS. Furthermore, record has to be kept of all payment cancellations in the form of a cancellation register. The management representative must also write reports and submit reasons for payment cancellations to the Inspectorate of Driving Licences, the national and/or provincial Departments of Transport, when requested to do so. Control over payments recorded on eNaTIS and all the moneys received, thus has a major effect on the credibility of the recorded data, overall performance of the MM DLTC and the reliability of eNaTIS (Lelaka 2017(b)).

Based on the above examples, it is important to acknowledge that authorisation and approval does not take place in isolation. Financial and accounting controls compliment authorisation and approval tasks because it also monitors compliance with legislation (Coe 1989:1-3).

#### **5.7.4.6 Accounting controls: Cashiering and balancing**

Financial and accounting controls include daily and monthly controls, reconciliation of transactions and the preparation of financial and performance reports. Accounting controls confirm that financial accountability prevails at all times and increases the accuracy of any financial recorded transaction. Financial and accounting control

mechanisms in the DLTC environment subsequently ensures that the eNaTIS transactions are valid and recorded accurately. This implies that every single transaction can be traced and audited as required (Fourie 2007a:735) and Mofolo (2015:893).

As stated above, accounting controls include daily controls, such as cash-up and balancing controls. Daily cashing-up and balancing at the MM DLTC is characterised by routine work. The eNaTIS cashiers have to ensure that the received payments are captured correctly and accurately. They have to ensure that the cash was received and confirm that the correct method of payment was selected when capturing the payment type. The money has to be counted, and the change calculated and handed to the member of the public. At the end of each day, the cashiers and supervisors tirelessly check that all money has been counted correctly and that all receipts are accounted for. For example, the cashiers verify their moneys and receipts against the relevant reports populated and printed by the supervisor. Cashing-up and balancing is only finalised after diligently establishing any surpluses and shortages. The supervisor then takes the cash and the prescribed balance sheets (co-signed by the cashier) to the banking clerk of the municipality who hands it over to contract Fidelity guards for safekeeping and depositing. Furthermore, monthly reconciliations reveal which amounts are payable to the North-West province and the DLTCs Inspectorate, and which sum is retained by the municipality. Balancing at the Centre is indeed cumbersome and often results in mistakes and delays. To expedite daily cashing-up, each employee needs to know exactly what is expected of him/her. Standard operating procedures for setting up at the beginning of each day, concluding transactions on eNaTIS, processing payments and securing cashier workstations would assist. Procedures for safeguarding face value documents is also required specifically, standard operating procedures for cashing up, daily balancing, working with float and reconciling shortages or surpluses on eNaTIS. This contributes towards a smooth process of balancing at the MM DLTC. Routine standardised procedures should be at a daily procedure when the cashiers and supervisors check and balance the monies received. Moreover, eNaTIS cashiers and supervisors need to be specifically trained on the eNaTIS financial module (Lelaka 2017(a); Government Notice 27589 2005:7-9).

The next section discusses training as an internal control mechanism. Training DLTC staff would result in the transformation of driver licensing as a profession. Moreover, trained and qualified staff members, including the driver licence examiners could serve as role models for fellow employees at the Centre.

#### **5.7.4.7 Training of staff**

Conforming to the statement in Chapter 3, section 3.7.7 (*Training of staff*), that competent personnel is a non-negotiable requirement for public service delivery, a learning environment that provides opportunities for DLTC staff to improve their knowledge and skills should it be required at the MM DLTC (Nkwana 2014:85). It is the task of the management representative to identify any training and development at the Centre. The management representative must ensure that the clerks, eNaTIS cashiers and the driver licence examiners licences are trained in accordance to the latest legislative amendments and eNaTIS software modifications. Proof of training must be filed. Furthermore, the management representative must ensure that individual staff members are registered appropriately as eNaTIS users. These responsibilities requires that the management representative is trained and fully conversant with all DLTC processes and has a sound knowledge of the NRTA of 1996 and enacted Regulations, as amended. Well-trained and qualified driver licence examiners ultimately contribute towards road safety because they are responsible to examine the applicants for learner licences and establish whether the person has the skills at the required level. The examiners are also expected to apply ethical guidelines during the examination of the candidates (Government Notice 27589 2005:6 & 7).

Furthermore, to examining applicants for learner licences, the examiners also be able to examine drivers for motor vehicles to determine skills meet the standard required to acquire a licence. The suitability of an applicant must be assessed by conducting driver licence yard and road tests. The examiners, therefore, must be able to conduct practical driver licence tests as well as maintain and operate electronic measuring apparatus. The examiners must also be able to administer the driver examination as prescribed in the K53 manual (Government Notice 27589 2005:6). Training examiners for driver licences, therefore, promotes driver competencies, influences adherence to traffic rules and promotes traffic safety. Accredited training for examiners is provided by the Josmap Training Institute, Mangaung Traffic Training College, Port Elizabeth Traffic College, Tshwane Leadership and Management Academy and the Tshwane Metropolitan Police Department Academy (South African Qualifications Authority 2015:Online).

Training programmes offered to eNaTIS cashiers and supervisors include learners and driver licence courses, professional driver permit courses, workshops on supervisory skills, eNaTIS audits, inspect workshops including fraud and corruption prevention programmes. Moreover, the DLTC staff also attends soft skills courses, such as effective leadership, customer satisfaction, stress management and interpersonal skills courses. Computer literacy courses, such as MS Word, MS Outlook and MS

Excel is also considered. Employees working at DLTCs have adequate opportunity to become specialists in their respective fields. DLTC supervisors play a critical role in, amongst other tasks, identify training and development needs. A thorough explanation of supervision as a control mechanism is critical in this regard (eNaTIS 2013:Online).

#### **5.7.4.8 Supervision**

It was stated in Chapter 3, section 3.7.8 (*Supervision*) that supervision is the oversight of the work of individuals by someone in a position of authority. At the MM DLTC, both the management representative and the supervisors ensure that the day-to-day transactions and operations are executed in an efficient manner. Supervision at the DLTC ensures that individuals undertake the tasks they are required to, properly (Fourie 2007b:351; Kanyane & Mabelane 2009:61 & 65).

The supervisors at the MM DLTC ensure service delivery through the regulation of staff activities. Daily supervisory routines include the monitoring of staff attendance, measuring of productivity and ensuring that the staff are at their posts and ready to perform duties timeously. The supervisors also ensure that the staff has a tea and lunchtime roster. Monthly supervisory tasks include the compiling of monthly activity reports and statistics of staff activities and productivity (Government Notice 27589 2005:3–8). The DLTC supervisors are also responsible to attend to management enquiries and conduct regular meetings with staff of work-related matters. Most importantly, supervisors need to take steps necessary to prevent illegal or fraudulent transactions, because they are in the perfect position to minimise risks by carefully and regularly reviewing existing methods and procedures (Gladwin & McConnell 2014:17-20; Raman & Singh 2012:21-27)

It is against this background that the following standard operating procedures were identified as lacking at the MM DLTC:

- Ensuring effective and efficient service delivery.
- Supervising the DLTC.
- Supervising cashiers.
- Cancelling unpaid transactions.
- Daily balancing of cashiers.
- Issuing and controlling face value documents.
- Banking revenue.
- Dealing with suspicious documents.
- Auditing and quality control.

The above-listed methods and procedures should be available in writing and readily available and accessible to the relevant staff members (Evans 2011:71-80). Supervisory success at DLTCs not only relies on competent supervisors, but also the manager(s). Management as internal control mechanism at the MM DLTC is discussed below.

#### **5.7.4.9 Management**

The management representative's primary responsibility is to ensure that the MM DLTC achieves its purpose to deliver effective and efficient driver licence services to the public. For this reason, the management representative identifies the objectives, outputs and deliverables that need to be achieved, consults with all the role-players and also identifies the activities and resources needed to achieve the objectives. The management representative is, therefore, responsible to manage all staff activities (NRTA 1996:Section 8; NRTR 2000:Regulations 91 & 95). As stated above in section 5.7.4.7 (*Training of staff*), the management representative has to remain updated with changes and amendments to legislation and inform the staff accordingly. Furthermore, he/she also performs management-only transactions, for example, remove a *Wearing Glasses* restriction from an applicant's drivers licence record (Government Notice 27589 2005:5).

Since the management duties of the management representative is comprehensive and integrates the various DLTC operations on regular basis, the management representative's duties and responsibilities was referred to throughout the chapter. Effective internal control at the MM DLTC thus profoundly relies on the management representative accomplishing all tasks properly. He/she must assure compliance with legislation by, amongst other responsibilities, maintain the internal control system and implement the following standard operating procedures (Fourie 2007a:741; Visser & Erasmus 2015:278):

- Managing the DLTC.
- Implementing the operational plan.
- Managing the usage of assets by users.
- Dealing with audits and inspections.
- Managing the collection of revenue.
- Ordering face value documents.
- Managing leave.
- Instituting disciplinary proceedings.

- Managing training and development needs.
- Managing job descriptions.
- Resolving client complaints.
- Cancelling eNaTIS payments.

Other management duties that also require the development of standardised procedures include requesting helpdesk support, verifying helpdesk requests, registration of eNaTIS officers, cancel submitted driver licences and change driver and vehicle restrictions. DLTC managers and supervisors use technology, like eNaTIS, to undertake these and other responsibilities (Government Notice 27589 2005:4-8). The utilisation of information technology at the DLTC is discussed hereunder.

#### **5.7.4.10 Information and communications technology: eNaTIS**

As stated in Chapter 3, section 3.7.10 (*Information and communications technology*), internal control in the information and communications technology milieu is integral to software development. Transaction approvals, authorisations and the separation of duties is often build into eNaTIS before the users utilise it (Boockholdt & David 1999:603). It was also stated in section 5.4.7 (*The period 2010 and beyond*) that eNaTIS is the computerised National Traffic Information System that is utilised as a register that supports the NRTA of 1996 and the Regulations enacted in terms thereof. The eNaTIS driver fitness module includes, *inter alia*, at least 18 DLTC registers, driver licences, driver licence appointments, and professional driver permits. The transactions included in these registers range from capturing a person's particulars, record applications, record test results, issue licences, order driver licence cards and print receipts. Examiner and supervisor transactions are separated and transaction detail reports and queries are also incorporated in these registers (NRTA 1996:Section 2(g); Tasima 2013:Online; Government Notice 27589 2005:5).

eNaTIS users have access to a wide range of confidential information about applicants' particulars and addresses, motor vehicle information and transaction history. For this reason, each eNaTIS user is requested to sign and comply with a NaTIS confidentiality undertaking/agreement. The user undertaking is compiled according to the Protection of Information Act 84 of 1982 and protects the information contained on eNaTIS. In a nutshell, the undertaking prohibits a user from providing information to anyone, other than the *bona fide* owner of the vehicle. It also spells the consequences of divulging information to any unauthorised person. The user thus agrees to keep information that may come to his/her knowledge directly or indirectly



during and after his/her term as an eNaTIS user, as confidential. The user further agrees that his/her eNaTIS user access may be revoked in the event that he/she commits any security breaches (NRTR 2000:Regulation 1D(b)).

Moreover, the user agrees to activate a screen saver and not to leave his/her workstation unsecured or unattended without logging off, and to notify the relevant authorities of any fraudulent activities and unusual occurrences. eNaTIS users must also ensure that no unauthorised or illegal software is used on any workstation under his/her authority and that no unauthorised copies are made of licensed eNaTIS software. Moreover, the user undertaking specifies that an eNaTIS employee is not allowed to utilise any other unauthorised device or computer to load or process eNaTIS information (NRTR 2000:Regulation 1D).

The implementation of standard operating procedures at the MM DLTC will undoubtedly be enhanced when applying the above internal control mechanisms. The section is now concluded and the research question: 'How can the implementation of standard operating procedures be enhanced at the MM DLTC?' responded to. Further information on this matter follows in Chapter 6, section 6.4.4 (*Improving implementation of standard operating procedures*) and section 6.5.5 (*Improving implementation of procedures and internal control mechanisms*).

## **5.8 STANDARD OPERATING PROCEDURES TO ISSUE DRIVERS LICENCES**

The procedures presented in this section were developed to realise the fourth objective of the study, namely: develop a set of standard operating procedures to issue driver licences at the MM DLTC. Licensing and road traffic legislation, official policy circulars issued by the national Department of Transport as well as eNaTIS guidelines provided by the North West Provincial Department of Transport were consulted to gather information for inclusion in the procedures.

The actual implementation of these procedures falls outside the scope of this study. The evaluation of the implementation of the procedures is the responsibility of management at the MM DLTC.

### **5.8.1 Administration and filing**

The following procedures were developed to conform to the processes described in section 5.7.3.2 (*Application for and issuing of driver licences*):

- Pre-screening documents.
- Filing driver licence related documents.

### 5.8.1.1 Pre-screening documents

SUBJECT		PROCEDURE NUMBER
Pre-screening documents and forms		PRE
Purpose		
To ensure that clients submit the correct documents and forms.		
Responsibilities		
The clerk checks that the documents are: <ul style="list-style-type: none"><li>▪ Pre-completed.</li><li>▪ Completed correctly.</li></ul>		
Related Documents		
<ul style="list-style-type: none"><li>▪ Documents and forms per transaction type.</li></ul>		
Legislation/Policies/Departmental Instructions		
<ul style="list-style-type: none"><li>▪ NRTA of 1996: Section 4 and Regulations 3–90</li><li>▪ <i>Batho Pele</i> principles</li></ul>		
Facilities and Equipment		
<ul style="list-style-type: none"><li>▪ eNaTIS terminal</li><li>▪ Telephone</li><li>▪ Photocopier</li></ul>		
Additional Information		
Documents and forms are checked to ensure that they are appropriate for the DLTC transaction to be performed, and that the information required is provided correctly and in full.		
Standard Procedure		
PRE 1	Establish from each client which transaction is required.	
PRE 2	Ensure that the client has the correct form for the applicable transaction.	
PRE 3	Ensure that the form is completed correctly.	
PRE 4	Ensure that the client has the correct supporting documents for each transaction to be performed.	
PRE 5	Advise the client to proceed to the waiting area.	
PRE 6	Stamp the documents with an official stamp.	
PRE 7	Attach a control sheet to the documents.	

### 5.8.1.2 Filing driver licence related documents

SUBJECT Filing documents	PROCEDURE NUMBER FILE
<b>Purpose</b>	
To ensure that all driver licence documents are filed systematically and kept in a safe place.	
<b>Responsibilities</b>	
The filing clerk sorts, files, and labels documents.	
<b>Related Documents</b>	
<ul style="list-style-type: none"> <li>Forms and documents appropriate for the respective DLTC transactions.</li> </ul>	
<b>Legislation/Policies/Departmental Instructions</b>	
<ul style="list-style-type: none"> <li>NRTA of 1996: Section 77; Regulations 126 and 331.</li> <li>National Archives and Records Service of South Africa Act 43 of 1996.</li> </ul>	
<b>Additional Information</b>	
<ul style="list-style-type: none"> <li>All prescribed documentation must be kept and locked in a secure place where it is protected against the elements.</li> <li>No unauthorised access is permitted.</li> <li>All prescribed drivers licence documentation must be retained at the DLTC.</li> <li>Should the DLTC wish to destroy driver licence documentation after 10 years, proper authorisation and approval must be requested, which conform to Madibeng Municipality's specifications and the requirements of the National Archives and Records Service of South Africa Act 43 of 1996.</li> <li>The standard procedure applies to all driving licence applications, whether the applicants passed or failed.</li> </ul>	
<b>Standard Procedure</b>	
FILE 1	Collect all relevant files from the cashier workstations after the daily cash-up and balancing procedures have been finalised.
FILE 2	File them according to date, and alphabetically according to the applicant's surname.
FILE 3	Label the folder in the filing cabinet: <i>Driver licences</i> .
<b>Variations to the Standard Procedure</b>	
XFILE 1	<p>Should the DLTC wish to destroy driver licence documentation after 10 years, such documentation must be scanned and copies must be sent to the Inspectorate of Driving Licence Testing Centres.</p> <p>The driver licence documentation can only be destroyed once the Inspectorate of Driving Licence Testing Centres has acknowledged receipt of a copy of the scanned driver licence data in writing.</p> <p>The scanned drivers licence data must be available at the DLTC premises for inspection and auditing purposes.</p>

## 5.8.2 Drivers licences

The procedures developed and presented in this section, have been identified as those lacking at the MM DLTC, and explained in section 5.7.3.2 (*Application for and issuing of driver licences*).

### 5.8.2.1 Booking and/or confirming drivers licence tests – Clerk

SUBJECT		PROCEDURE NUMBER
Handling driver licence test applications		DLTa
<b>Purpose</b>		
To ensure that the provisions of Regulation 106 of the NRTA of 1996 are upheld in terms of driver licence test applications.		
<b>Responsibilities</b>		
The clerk checks the accuracy of the documentation.		
<b>Related Documents</b>		
<ul style="list-style-type: none"><li>▪ <i>Application for Driving Licence</i>: DL1 duly completed and signed.</li><li>▪ Acceptable identification.</li><li>▪ Driving licence appointment register.</li></ul>		
<b>Legislation/Policies/Departmental Instructions</b>		
<ul style="list-style-type: none"><li>▪ NRTA of 1996: Sections 15 and 18, Regulation 106</li></ul>		
<b>Standard Procedure</b>		
DLTa 1	Identify the person positively.	
DLTa 2	Ensure that the applicant qualifies for a drivers licence in terms of his/her age by checking eNaTIS and the application form.	
DLTa 3	Ensure that the applicant is not disqualified from acquiring a driver's licence by checking eNaTIS.	
DLTa 4	Ensure that the applicant is in possession of an applicable and original learner's licence.	
DLTa 5	Check that the DL1 application form is completed correctly: <ul style="list-style-type: none"><li>▪ The class of vehicle is specified.</li><li>▪ The declaration is completed and signed.</li></ul>	
DLTa 6	Ensure that the applicant has marked the correct drivers licence code.	
DLTa 7	Check that all supporting documents are correct: <ul style="list-style-type: none"><li>▪ Make a copy of the acceptable ID, i.e. RSA ID.</li></ul>	
DLTa 8	Direct the applicant to the examiner for an eye test.	

### 5.8.2.2 Booking and/or confirming driver licence tests – Examiner

<b>SUBJECT</b> Handling drivers licence test applications		<b>PROCEDURE NUMBER</b> DLTb and XDLTb
<b>Purpose</b>		
To ensure that the provisions of Regulations 102 and 106 of the NRTA of 1996 are upheld in terms of driver licence test applications.		
<b>Responsibilities</b>		
The examiner is to check the forms and conduct the eye test.		
<b>Related Documents</b>		
<ul style="list-style-type: none"> <li>▪ <i>Application for Driving Licence</i>: DL1 duly completed and signed.</li> <li>▪ Acceptable identification.</li> <li>▪ Driving licence appointment register.</li> </ul>		
<b>Legislation/Policies/Departmental Instructions</b>		
<ul style="list-style-type: none"> <li>▪ NRTA of 1996: Sections 15 and 18, Regulation 106</li> </ul>		
<b>Additional information</b>		
<ul style="list-style-type: none"> <li>▪ If the applicant is over the age of 65 years, a medical certificate is required.</li> <li>▪ Inform the applicant that he/she may submit, at the expense of the applicant, an eye test from a registered optometrist or ophthalmologist.</li> <li>▪ The eye test has to reflect the visual acuity according to the Snellen rating and the applicant's field of vision expressed in degrees.</li> <li>▪ The eye test results must be recorded appropriately on the DL1 form.</li> </ul>		
<b>Standard Procedure</b>		
DLTb 1	Identify the person positively.	
DLTb 2	Check that the DL1 application form is completed correctly: <ul style="list-style-type: none"> <li>▪ The class of vehicle is specified.</li> <li>▪ The declaration is completed and signed.</li> </ul>	
DLTb 3	Check that all supporting documents are correct: <ul style="list-style-type: none"> <li>▪ Make a copy of the acceptable ID, i.e. RSA ID.</li> </ul>	
DLTb 4	Process the application on the electronic image capturing system.	
DLTb 5	Conduct the eye test on the electronic image capturing system according to the specifications and requirements of Regulation 102 of the NRTA of 1996.	
DLTb 6	Print the image capture sheet from the image capturing system on form ICS.	
DLTb 7	Record the results of the eye test appropriately on the DL1 form as per NRTA of 1996 and NRTR specifications and requirements.	
DLTb 8	Attach one photo of the applicant to the DL1 form and cover with a lamination strip.	
DLTb 9	Endorse all forms with the official stamp.	
DLTb 10	Direct the applicant to the cashier for payment.	

### 5.8.2.3 Booking and/or confirming driver licence tests – Cashier

SUBJECT		PROCEDURE NUMBER
Handling driver licence test applications		DLTc
Purpose		
To ensure that the provisions of Regulation 106 of the NRTA of 1996 are upheld in terms of drivers licence test applications.		
Responsibilities		
The cashier is responsible for capturing the information on eNaTIS and receipting the payment.		
Related Documents		
<ul style="list-style-type: none"><li>▪ <i>Application for Driving Licence</i> (DL1) duly completed and signed.</li><li>▪ Eye test results duly completed and signed on form DL1.</li><li>▪ Printed form ICS from the image capturing system.</li><li>▪ Acceptable identification.</li><li>▪ Drivers licence appointment register.</li><li>▪ Appropriate fees.</li></ul>		
Legislation/Policies/Departmental Instructions		
<ul style="list-style-type: none"><li>▪ NRTA of 1996: Sections 15 and 18, Regulation 106</li></ul>		
Standard Procedure		
DLTc 1	Identify the person positively.	
DLTc 2	Check that all supporting documents are correct: <ul style="list-style-type: none"><li>▪ Make a copy of the acceptable ID, i.e. RSA ID.</li><li>▪ Endorse the copy of the acceptable ID with the Madibeng Municipality official stamp.</li></ul>	
DLTc 3	Ensure that the applicant is in possession of an applicable and original learner's licence.	
DLTc 4	Check that the DL1 application form is completed correctly: <ul style="list-style-type: none"><li>▪ The class of vehicle is specified.</li><li>▪ The declaration is completed and signed.</li></ul>	
DLTc 5	Communicate and confirm the appropriate drivers licence code and fees to the applicant.	
DLTc 6	Capture and verify the booking date of the driver licence appointment register.	
DLTc 7	Capture the applicant's particulars and the driver licence test details on eNaTIS with Transaction 711.	
DLTc 8	Collect the fees applicable for the driver test before concluding Transaction 711.	
DLTc 9	Confirm the preferred date of the driver licence appointment register with the applicant.	
DLTc 10	Hand proof of payment and confirmation of the booking to applicant.	
DLTc 11	Complete the <i>For Office Use Only</i> section on application form DL1.	

#### 5.8.2.4 Issuing driver licences – Examiner

SUBJECT		PROCEDURE NUMBER
Issue driver licences		IDLa and XIDLa
<b>Purpose</b>		
To ensure that the provisions of Regulation 108 of the NRTA of 1996 are upheld correctly when drivers licence test results are captured and driver licences are issued.		
<b>Responsibilities</b>		
The examiner is to check and issue the drivers licence to the applicant.		
<b>Related Documents</b>		
<ul style="list-style-type: none"><li>▪ <i>Application for Driving Licence</i> (DL1) duly completed and signed.</li><li>▪ Eye test results duly completed and signed on DL1 form.</li><li>▪ Printed form ICS from the image capturing system.</li><li>▪ Acceptable identification.</li><li>▪ Marked and moderated drivers licence practical test sheet, clearly indicating the result of the test.</li><li>▪ Authorisation to issue the appropriate driving licence completed, signed and dated on form DL1.</li><li>▪ Driving licence test sheet.</li></ul>		
<b>Legislation/Policies/Departmental Instructions</b>		
<ul style="list-style-type: none"><li>▪ NRTA of 1996: Sections 15 and 18, Regulations 102, 107 and 108</li></ul>		
<b>Additional Information</b>		
Whether the applicant passes or fails, the test results must be captured onto eNaTIS with Transaction 718. Test results of applicants who passed the test, must be authorised with Transaction 71A.		
<b>Standard Procedure</b>		
IDLa 1	Identify the person positively.	
IDLa 2	Check that the forms are completed correctly and all supporting documents are present.	
IDLa 3	Complete the driving licence test sheet, and attach it to the DL1 form.	
IDLa 4	Process the application on the electronic image capturing system.	
IDLa 5	Take an imprint of the left thumb and right thumb of the applicant.	
IDLa 6	Capture the photographic image of the applicant on the image capturing system depicting only the head and shoulders of the applicant and showing the applicant's full face.	
IDLa 7	Capture the signature image of the applicant on the image capturing system.	
IDLa 8	Ensure that the applicant's vision complies with the requirements of Regulation 102.	

IDLa 9	Print the image capture sheet from the image capturing system on form ICS and ensure that the applicant has signed the ICS form.
IDLa 10	Record the barcode number of the ICS form on the DL1 application form.
IDLa 11	Record the driving licence test result on eNaTIS with Transaction 718.
IDLa 12	Authorise the <i>Pass</i> test result on eNaTIS with Transaction 71A.
<b>Variations to the Standard Procedure</b>	
XIDLa 5	If the client does not have a right and/or left thumb(s), take an imprint of the fingers as specified on the image capturing system, and note the identification of these fingers on the image capturing system.
XIDLa 11	<p>If an applicant fails the test, the examiner must:</p> <ul style="list-style-type: none"> <li>▪ Explain to the applicant why he/she failed.</li> <li>▪ Advise the applicant with regard to the procedures to apply for another test.</li> <li>▪ Record the test result as failed on the DL1.</li> <li>▪ Return any additional photographs to the applicant.</li> <li>▪ Ensure that the documents are filed.</li> </ul>

#### 5.8.2.5 Issue driver licences – Cashier/Clerk

SUBJECT	PROCEDURE NUMBER
Issuing drivers licences	IDLb
<b>Purpose</b>	
To ensure that the provisions of Regulation 108 of the NRTA of 1996 are upheld correctly when drivers licence test results are captured and licences are issued.	
<b>Responsibilities</b>	
The cashier/clerk is responsible for capturing the information on eNaTIS and receipting the payment.	
<b>Related Documents</b>	
<ul style="list-style-type: none"> <li>▪ <i>Application for Driving Licence</i> (DL1) duly completed and signed.</li> <li>▪ Eye test results duly completed and signed on form DL1.</li> <li>▪ Printed form ICS from the image capturing system.</li> <li>▪ Acceptable identification.</li> <li>▪ Marked drivers licence practical test sheet, clearly indicating the result of the test.</li> <li>▪ Authorisation to issue the appropriate driving licence completed, signed and dated on form DL1.</li> <li>▪ Driving licence test sheet.</li> <li>▪ Appropriate fees.</li> </ul>	



<b>Legislation/Policies/Departmental Instructions</b>	
<ul style="list-style-type: none"> <li>▪ NRTA of 1996: Sections 15 and 18; Regulations 102, 107 and 108</li> </ul>	
<b>Additional Information</b>	
Whether the applicant passes or fails, the test results must be captured onto eNaTIS utilising Transaction 718. Successful applicants test results must be authorised with Transaction 71A.	
<b>Standard Procedure</b>	
IDLb 1	Identify the person positively.
IDLb 2	Check that the DL1 application form is completed correctly and all supporting documents are present.
IDLb 3	Verify that the examiner has recorded the driving licence test result on the DL1 form, entered his/her infrastructure number, and signed the form.
IDLb 4	Ensure that the Test Sheet has been completed and signed by the examiner, and added to the DL1 application form.
IDLb 5	Ensure that the eye test has been completed and that the eye test examiner has completed and signed the DL1 form.
IDLb 6	Check that the ICS form is completed in full: <ul style="list-style-type: none"> <li>▪ The photograph and fingerprint images are in the correct places.</li> <li>▪ The applicant has signed the ICS form.</li> </ul>
IDLb 7	Capture the issuing of the driving licence on eNaTIS with Transaction 712.
IDLb 8	Endorse the drivers licence to indicate whether the applicant is required to drive with/without the aid of glasses or contact lenses.
IDLb 9	Record the bar code of the ICS form on the DL1 and eNaTIS.
IDLb 10	Collect the applicable fees before concluding Transaction 712.
IDLb 11	Hand the printed eNaTIS confirmation form to the applicant.
IDLb 12	Ensure that the applicant has checked and signed the printed eNaTIS confirmation form.
IDLb 13	Issue a free temporary driver licence to the applicant.
IDLb 14	Endorse all forms with the official date stamp.
IDLb 15	Instruct the client to hand the receipt to the Madibeng Municipality financial department (if the applicant is funded by government).
IDLb 16	Log a call with the DLTC Helpdesk to endorse the driver licence if the applicant has an artificial limb or another physical aid.
IDLb 17	Log a call with the DLTC Helpdesk to endorse the drivers licence if the applicant is physically disabled who drives an adapted vehicle.
IDLb 18	Forward all documents for quality control and filing.

### 5.8.2.6 Receive driver licence cards from Card Production Facility

SUBJECT		PROCEDURE NUMBER
Receiving driving licence cards from the Card Production Facility		DLP and XDLP
Purpose		
To ensure that driver licence cards are correct on delivery from the Card Production Facility.		
Responsibilities		
The clerk must ensure that driver licence cards, which are authorised/receipted by the DLTC is received from the Card Production Facility.		
The clerk is required to forward a notification for collection to each client.		
Related Documents		
<ul style="list-style-type: none"><li>▪ Driving licence card</li><li>▪ Notification card</li></ul>		
Legislation/Policies/Departmental Instructions		
<ul style="list-style-type: none"><li>▪ NRTA of 1996: Regulations 108(3) and (4)</li></ul>		
Standard Procedure		
DLP 1	Check on eNaTIS that each card received is correct.	
DLP 2	Check that the images on the driver licence cards are current against the images on file.	
DLP 3	Check whether the applicants licence had been suspended or cancelled.	
DLP 4	Record the driver licence card receipt on which the drivers licence appears on eNaTIS utilising Transaction E3. Update the status of the driver licence card to code 09 on eNaTIS.	
DLP 5	Remove the notice portion from the notification card.	
DLP 6	Forward the notice to the applicant to collect the driver licence card at the DLTC.	
Variations to the Standard Procedure		
XDLP 1	If the particulars of the driver licence card are incorrect: <ul style="list-style-type: none"><li>▪ Update the status of the driver licence card on eNaTIS.</li><li>▪ Correct the particulars if required.</li><li>▪ File the card in the client’s file.</li><li>▪ Order a duplicate card.</li></ul>	

### 5.8.2.7 Handling the collection of driver licence cards by clients

<b>SUBJECT</b>		<b>PROCEDURE NUMBER</b>
Handling the collection of driving licence cards		CDL
<b>Purpose</b>		
To ensure that the provisions of Regulation 108, 112 and 112A of the NRTA of 1996 are upheld, and driver licence cards are collected by clients and recorded on eNaTIS.		
<b>Responsibilities</b>		
<ul style="list-style-type: none"> <li>▪ The clerk is to check the driver's details and issue the new driver licence card.</li> <li>▪ The examiner is to destroy unclaimed driver licence cards 120 days after the notification card was posted.</li> </ul>		
<b>Related Documents</b>		
<ul style="list-style-type: none"> <li>▪ Collection notice.</li> <li>▪ Affidavit (referred to as a proxy form).</li> <li>▪ Driving licence card.</li> </ul>		
<b>Legislation/Policies/Departmental Instructions</b>		
<ul style="list-style-type: none"> <li>▪ NRTA of 1996: Regulations 108, 112 and 112A</li> </ul>		
<b>Additional Information</b>		
Driver licence cards may be collected by persons other than the applicants themselves, as described in the variations to the standard procedure.		
<b>Standard Procedure</b>		
CDL 1	Request and check the applicant's ID.	
CDL 2	Collect the new driving licence card.	
CDL 3	Request the applicant to submit every previous licence and professional driver permit held by the applicant.	
CDL4	Ensure that the client signs the notification card.	
CDL 5	Ensure that the client acknowledges receipt of the driver licence card on the <i>Issue of Driving Licence Card</i> section of form DL1.	
CDL 6	Record the driver licence card on which the drivers licence appears on eNaTIS utilising Transaction E3. Update the status of the driver licence card to code 10 on eNaTIS.	
CDL 7	Duly complete the <i>For Office Use Only</i> section on application form DL1.	
CDL 8	Hand the driver licence card to the client.	
CDL 9	Forward the documents for filing.	

**Sources:** Sections 4, 15, 18 and 77 of the NRTA of 1996, and Regulations 102 to 112A of the NRTRs of 2000.

Adopted from Ekurhuleni Metropolitan Municipality (2010:17-89) and Tidasa (2009:9-15).

## 5.9 SUMMARY

This chapter answered the research question ‘What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?’ to enhance the practical relevance of the study and to boost the significance of the recommendations. The development and implementation of the most specific form of policy, standard operating procedures at operational level required for the sound management of any government institution, was applied to complex legislation that had originated from the turn of the previous century. The synergy between Public Administration as a discipline and public administration as an activity in South Africa served as the foundation of the chapter. To respond the research question, the chapter provided an historical overview of issuing a driver’s licence. Furthermore, the Department of Transport and the Inspectorate of DLTCs were identified as the primary regulatory institutions. The structure and scope of DLTCs its grading, human resource responsibilities as well as record keeping and reporting requirements was expounded upon. The location and structure of the Madibeng Municipality and the functioning of its MM DLTC was discussed. Thereafter, the chapter progressed to detailed descriptions of the methods and procedures for learner and driver licences, as well as professional driver permits with the aim to identify the need and role of standard operating procedures in practice. An overview of how the internal control mechanisms identified in Chapter 3, section 3.7 (*Internal control mechanisms*) are applied in the MM DLTC concluded the chapter.

It is cause for concern that the Centre lacks a vast number of standard operating procedures to perform its daily routine tasks. The current situation revealed how disintegrated legislated aims and objectives are in relation to policy implementation at operational level. This need resulted in the development of a set of standard operating procedures to issue driver licences at the Centre. This was done during the duration of the research project and no financial or any other reward was received. The objectives that were reached included: investigation of the purpose, structure and functions of DLTCs in South Africa with specific reference to the MM DLTC and acquire adequate information to provide recommendations for the development of standard operating procedures to ensure that driver licences are issued effectively and efficiently at the municipality’s Centre. This contributed towards the development of a complete set of standard operating procedures to issue driver licences.

In the following chapter, the data analysis and findings are presented. The first half of the chapter provides an overview of the demographic variables after which the participants’ responses to the questionnaire are presented and analysed by means of

graphs, tables and discussions. The data analysis and findings of the interviews conducted at the MM DLTC is discussed in the second half of the chapter 6 under specific themes.

## CHAPTER 6: RESEARCH ANALYSIS AND FINDINGS

### 6.1 INTRODUCTION

The lack of contemporary and relevant standard operating procedures that impedes the effective issuing of driver licences at the MM DLTC, is addressed through an extensive literature review, document analysis and empirical research at the selected case study. This chapter presents the data analysis and findings followed by the contribution of this study, conclusions and recommendations in Chapter 7. The data analysis, interpretations and findings included in this chapter builds on Chapters 2; 3 and 5. Furthermore, the research methodology described in Chapter 4 formed the foundation of the methodological processes followed during the data collection and analysis. All the chapters were guided by the problem and the research questions included in Chapter 1, section 1.3 (*Problem statement and research questions*).

This chapter is divided into two parts. The data analysis and findings of the quantifiable data is presented and described in the first half, followed by the interpretation of the qualitative data in the second half of the chapter. The data captured from the self-administered questionnaire completed at the Madibeng Municipality is presented first. The second half of the chapter then builds on the first half in which matters that needed further clarification during personal interviews, were identified. The data gathered through the personal interviews with the selected participants at the MM DLTC is subsequently discussed in the second half of the chapter.

With regard to the presentation of the responses to the questionnaire, the response rate is analysed before detailed demographic information is provided. The gender and age group distribution, employment period, and the occupational category distribution of the sample is all presented and analysed as an introduction to the data analysis. Relevant cross-tabulations, such as the relationship between the occupational categories and the employment of the respondents is also provided. The data analysis, interpretation and findings of the quantifiable data is presented per section of the questionnaire. These sections include: (1) Use and significance of standard operating procedures; (2) Components of an internal control system; (3) Challenges towards the implementation of standard operating procedures; (4) Improving the implementation of procedures and internal control mechanisms; and (5) Writing standard operating procedures. However, before the five sections are analysed and interpreted, the average responses per section is presented. The analysis and interpretation of each of the individual statements then commenced per above-mentioned section of the questionnaire based on the research questions. Included in the description of each

section, are statistical analysis and discussion to highlight significant relationships in the data. The data is presented in graphs, and tables followed by brief discussions.

The validation process of the qualitative data is presented before the demographic profile of the participants, which is illustrated and briefly described. The data acquired from the interviews with the participating manager and the DLTC supervisors is presented per theme and the same sequence followed in the presentation of the quantitative data. The interview questions and responses are quoted in the qualitative data analysis because it formed the basis for the interpretation and the findings.

The Statistical Package for the Social Sciences (SPSS) computer software programme was utilised to analyse the quantitative data. The validity and reliability tests on the SPSS revealed that due to the relative small size of the site population, the validation should rely on content validity, as described in Chapter 4, section 4.10.1 (*Content validity of quantifiable data*). Content validity was established by linking the research questions and those included in the questionnaire directly to the relevant section of the theoretical chapters of the thesis, namely: Chapters 2, 3 and 5. Content validity was confirmed during the data analysis and interpretations by quoting the relevant theoretical arguments.

It is important that the response rate from the survey is adequate for data analysis and reporting. The response rate to the questionnaire is therefore discussed in the following section.

## **6.2 RESPONSE RATE TO QUESTIONNAIRE**

The target population to complete the questionnaire was fifty-six respondents who represented the entire population at the MM DLTC, except the security officers at the entrances of the Centre who did not have the required knowledge about issuing driver licences. Due to the relative small staff composition, all were selected because they are knowledgeable about issuing driver licences and the development and implementation of standard operating procedures in the licensing and DLTC environment. Valuable data and adequate responses were gathered. To ensure comprehensiveness and representativeness, the respondents were drawn from the primary occupational categories, namely: management representatives, DLTC supervisors and front-line employees, eNaTIS cashiers and driver licence examiners.

Participation in the survey was voluntary and out of the fifty-six questionnaires that were distributed, forty-seven were completed and returned. This represented a response rate of eighty-four percent, which was considered adequate to ensure the generalisability of the findings to the entire target population (De Vos and Fouché

1998:153; Babbie 2016:202). The response rate is tabulated in the following Table 6.1.

**Table 6.1: Quantitative data – Response rate**

OCCUPATIONAL CATEGORY	Number of questionnaires distributed	Number of questionnaires returned	Response rate
Management representatives	1	1	100%
DLTC supervisors	5	5	100%
DLTC front-line employees	15	13	87%
eNaTIS cashiers	15	11	73%
Examiners for driving licences	20	17	85%
<b>TOTAL</b>	<b>56</b>	<b>47</b>	<b>84%</b>

Table 6.1 reveals that the response rates from the occupational categories 'Management representatives' and 'DLTC supervisors', was hundred percent, whereas from the categories 'DLTC front-line employees' (eighty-seven percent) and 'Examiners for driving licences' (eighty-five percent). The lowest response rate (seventy-three percent) was recorded from the eNaTIS cashiers. The respondents from the selected categories are directly involved in issuing driver licences. For this reason, the research problem was relevant to their work situation and responsibilities which prompted their participation. This could be the reason for the high response rate. With regard to the lowest response rate work pressure at the counters and long queues could have prevented certain cashiers from completing the questionnaire.

The next section considers the demographic profile of the forty-seven respondents who completed the questionnaire.

### **6.3 DEMOGRAPHIC PROFILE OF RESPONDENTS TO QUESTIONNAIRE**

The significance of demographic data lies in its contribution to refine the analysis of the research specific questions. The various tasks and responsibilities at the DLTC is affected by demographic distribution. Although information about age and gender is considered sensitive (Protection of Personal Information Act 2013:Section 26), this information is deemed important to create a holistic overview of the study. Consequently, the SPSS system was used to analyse the following demographic data of the selected sample: (1) Gender distribution; (2) Age group distribution; (3) Employment period distribution; and (4) Occupational category distribution. Cross-tabulation between the period of employment and the gender of the respondents (Table 6.5), including the occupational category and the period of employment (Table



6.7), is presented to reveal the unique nature of the sample. The symbol ***n*** used in the presentation in the data denotes the actual number of the respondents in relation to the total number per category or the overall number of research respondents.

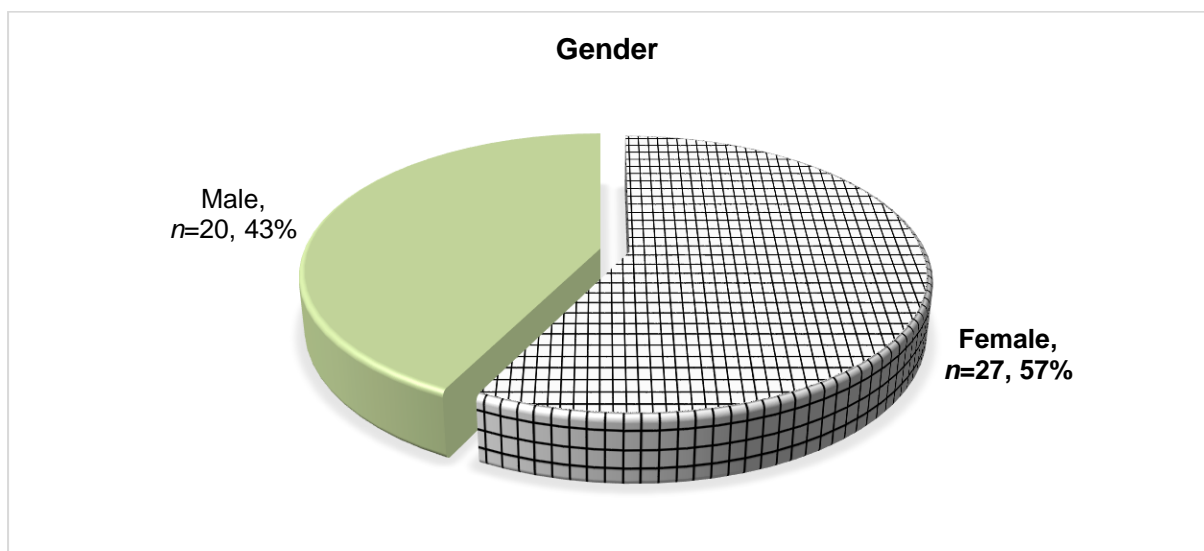
### 6.3.1 Gender distribution of the respondents

Females accounted for the majority of the responses. Fifty-seven percent (***n***=27) of the respondents comprised of females, while forty-three percent (***n***=20) males. Table 6.2 illustrates the gender distribution of the sample.

**Table 6.2: Quantitative data – Gender distribution of sample**

SPSS OUTPUT_GENDER DISTRIBUTION					
		Frequency	Percent	Valid percent	Cumulative percent
Valid	Female	27	57%	57%	57%
	Male	20	43%	43%	100%
	<b>Total</b>	<b>47</b>	<b>100%</b>	<b>100%</b>	

As revealed in Table 6.2, the respondent gender distribution comprises of fifty-seven percent females and forty-three percent males of the total sample (***n***=47). Figure 6.1 illustrates the gender distribution of the respondents in terms of frequency (number of responses) and the applicable percentage in relation to the total sample.



**Figure 6.1: Quantitative data – Sample distribution by gender (n=47)**

The distribution of the age group is summarised in the following section.

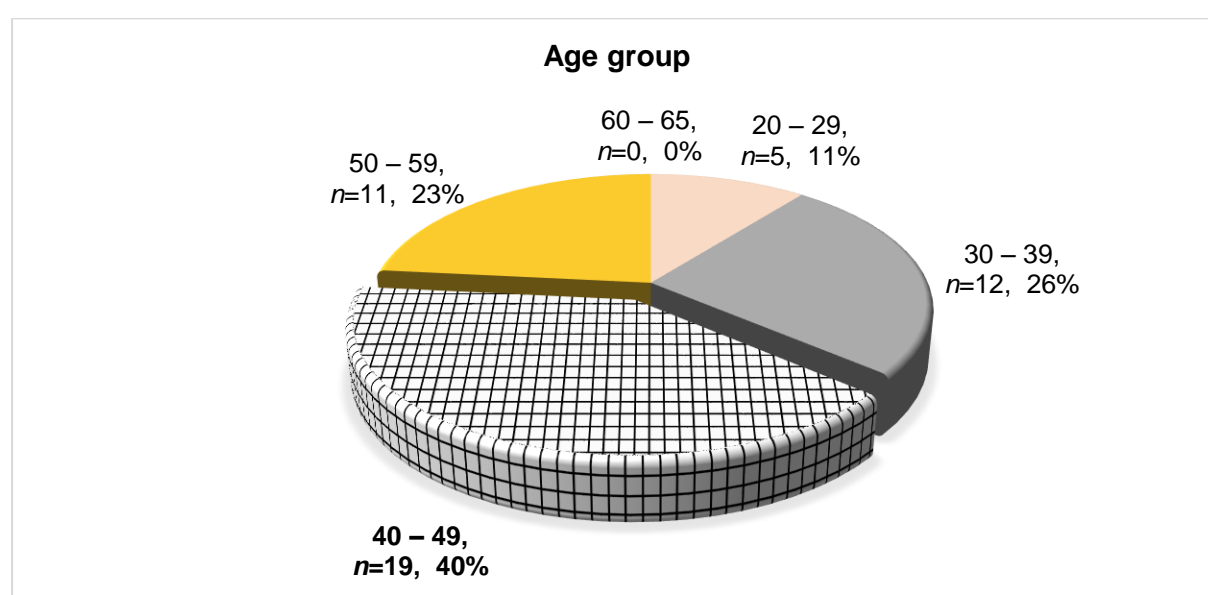
### 6.3.2 Age group distribution of the respondents

The respondents were eighteen years and older, but not older than sixty-five. To simplify the data analysis, the respondent's ages was categorised into five groups: 20 to 29, 30 to 39, 40 to 49, 50 to 59 and 60 to 65. The forty to forty-nine year age group accounted for the majority of the responses ( $n=19$ ), while the age group between twenty to twenty-nine years ( $n=5$ ) comprised of only eleven percent of the responses, as illustrated in Table 6.3 below.

**Table 6.3: Quantitative data – Age group distribution of sample**

SPSS OUTPUT_AGE DISTRIBUTION					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	20 – 29	5	11%	11%	11%
	30 – 39	12	26%	26%	37%
	40 – 49	19	40%	40%	77%
	50 – 59	11	23%	23%	100%
	<b>Total</b>	<b>47</b>	<b>100%</b>	<b>100%</b>	

Table 6.3 above revealed that eleven percent of the respondents were in the age group twenty to twenty-nine; twenty-six percent in thirty to thirty-nine year age group; forty percent in the forty to forty-nine group, and twenty-three percent of the respondents in the age group fifty to fifty-nine of the total sample ( $n=47$ ). None of the respondents were from the age group sixty and above. The information is illustrated in Figure 6.2 below:



**Figure 6.2: Quantitative data – Sample distribution by age group ( $n=47$ )**

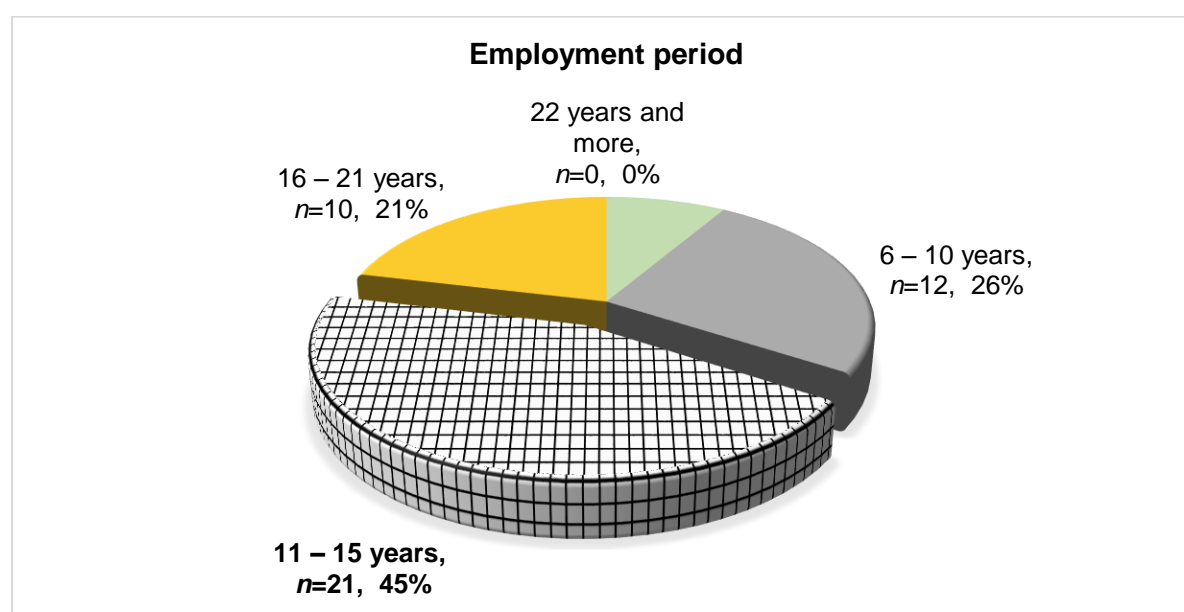
### 6.3.3 Period of employment distribution

The majority of the respondents ( $n=21$ ) have been employed at the MM DLTC between eleven to fifteen years. This confirms that the respondents had adequate experience to issue driver licences to provide valuable data for analysis and recommendations.

**Table 6.4: Quantitative data – Employment period distribution of sample**

SPSS OUTPUT_EMPLOYMENT PERIOD					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	0 – 5 years	4	9%	9%	9%
	6 – 10 years	12	25%	25%	34%
	11 – 15 years	21	45%	45%	79%
	16 – 21 years	10	21%	21%	100%
	<b>Total</b>	<b>47</b>	<b>100%</b>	<b>100%</b>	

Table 6.4 above illustrates that nine percent of the respondents were employed for a maximum of five years at the time of the survey, while twenty-five percent of the respondents between six to ten years. The majority of the respondents (forty-five percent) was employed for eleven to fifteen years, while twenty-one percent was employed for the period sixteen to twenty-one years by the Madibeng Municipality. This data is illustrated in Figure 6.3.



**Figure 6.3: Quantitative data – Sample distribution by period of employment ( $n=47$ )**

The cross-tabulation between the employment period and the gender of the respondents as illustrated in Table 6.5 below which reveals that the period of employment for the majority of the female respondents is between sixteen to twenty-one years, while the majority of the males have been employed between eleven to fifteen years.

**Table 6.5: Quantitative data – Cross-tabulation between period of employment and gender**

SPSS OUTPUT_CROSS TABULATION EMPLOYMENT PERIOD AND GENDER					
		Gender distribution of sample			
		Female		Male	
		Count	Row N %	Count	Row N %
Employment period distribution of sample	0 – 5 years	3	75%	1	25%
	6 – 10 years	7	58%	5	42%
	11 – 15 years	8	38%	13	62%
	16 – 21 years	9	90%	1	10%
	22 years and more	0	0%	0	0%
Total		27		20	

Based on the data presented in Table 6.5, it can be inferred that the females ( $n=27$ ) have on average more working experience at the Centre than their male counterparts ( $n=20$ ). The question which arises is how the period of employment distribution relates to the occupational categories at the Centre. The occupational categories of the respondents is analysed below.

#### 6.3.4 Occupational category distribution

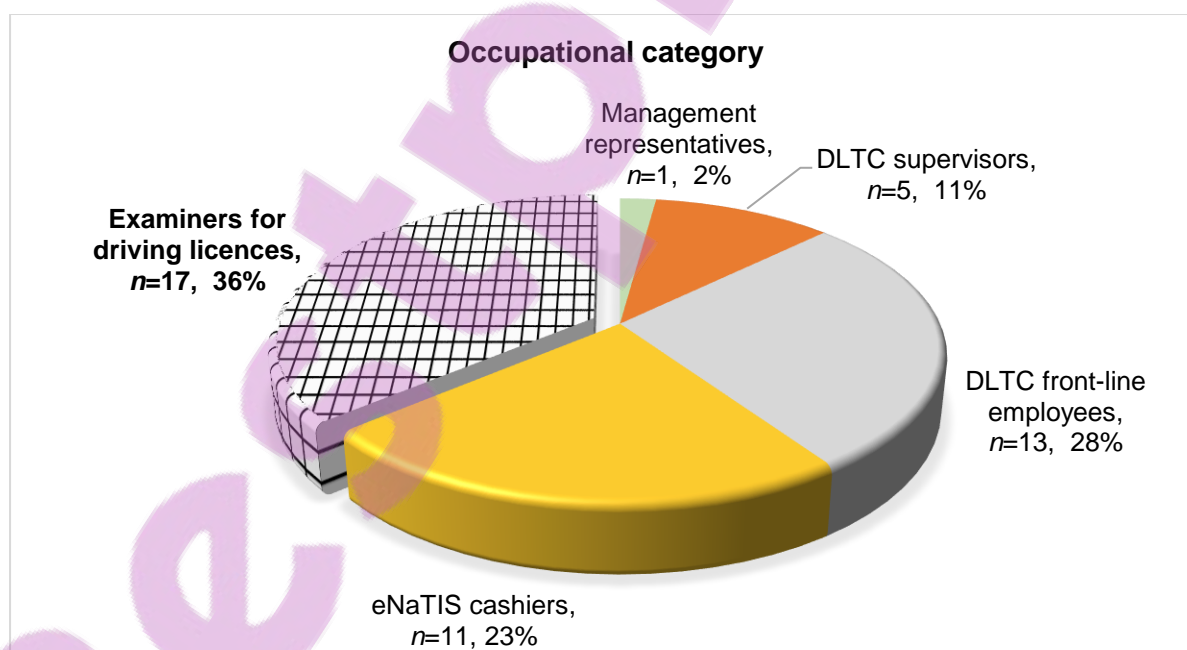
The procedures to issue driver licences as illustrated in Chapter 5, Figure 5.3 (*Process of issuing drivers licence*), revealed each step in the process is linked to a specific occupational category. For example, an eNaTIS cashier confirms payment made by a customer while an examiner authorises driver licence test results. Furthermore, the supervisors monitor the entire process and ensure that the workflow continues as scheduled. Therefore, the respondent's occupational category must be considered to create a holistic overview of the process to issue driver licences at the MM DLTC.

Table 6.6 illustrates each occupational classification level in terms of frequency and percentage.

**Table 6.6: Quantitative data – Occupational category distribution of sample**

SPSS OUTPUT_OCCUPATIONAL CATEGORY					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Management representatives	1	2%	2%	2%
	DLTC supervisors	5	11%	11%	13%
	DLTC front-line employees	13	28%	28%	41%
	eNaTIS cashiers	11	23%	23%	64%
	Examiners for driving licences	17	36%	36%	100%
	<b>Total</b>	<b>47</b>	<b>100%</b>	<b>100%</b>	

Table 6.6 above reveals that only two percent of the respondents fell in the occupational category: 'Management representatives', eleven percent: DLTC supervisors, while twenty-eight DLTC front-line employees which included the helpdesk officers as well as the administrative and filing clerks. The eNaTIS cashiers are also listed as occupational category, and accounted for twenty-three percent of the sample. The majority of the responses (thirty-six percent) comprised of the driver licence examiners. These percentages are illustrated in Figure 6.4 per occupational category below.



**Figure 6.4: Quantitative data – Sample distribution by occupational category (n=47)**

The relationship between the different occupations at the Centre and staff period of employment at DLTC is presented. The cross-tabulation between the occupational category and the period of employment is illustrated in Table 6.7 below. The entire 'Management representatives' category comprised of one (1) respondent (hundred percent) who has been employed for approximately eleven to fifteen years.

**Table 6.7: Quantitative data – Cross-tabulation between occupation and employment**

<b>SPSS OUTPUT_CROSS TABULATION OCCUPATIONAL CATEGORY AND EMPLOYMENT PERIOD</b>										
<b>Occupational category distribution of sample</b>	<b>Employment period distribution of sample</b>									
	<b>0 – 5 years</b>		<b>6 – 10 years</b>		<b>11 – 15 years</b>		<b>16 – 21 years</b>		<b>22 years and more</b>	
	<b>Count</b>	<b>Row N %</b>	<b>Count</b>	<b>Row N %</b>	<b>Count</b>	<b>Row N %</b>	<b>Count</b>	<b>Row N %</b>	<b>Count</b>	<b>Row N %</b>
Management representatives	0	0%	0	0%	1	100%	0	0%	0	0%
DLTC supervisors	1	20%	1	20%	2	40%	1	20%	0	0%
DLTC front-line employees	1	8%	4	30%	5	39%	3	23%	0	0%
eNaTIS cashiers	1	9%	3	27%	6	55%	1	9%	0	0%
Examiners for driving licences	1	6%	4	24%	7	41%	5	29%	0	0%

The two occupational categories with the highest number of years of employment at the Centre included: 'Management representatives' which comprised of a hundred percent for eleven to fifteen years, while the 'eNaTIS cashiers' comprised of fifty-five percent employment – also between eleven to fifteen years. It can be inferred that the management representatives and eNaTIS cashiers have extensive experience in issuing driver licences. They provided valuable information of the development of standardised procedures at the MM DLTC.

The next section describes the findings and interpretations.

#### **6.4 ANALYSIS, INTERPRETATIONS AND FINDINGS OF QUANTIFIABLE DATA: QUESTIONNAIRE**

The data analysis and interpretation in this section follows the sequence of the questionnaire from Section B to F. (Refer to Appendix G for the complete questionnaire.) Section B (*Use and significance of standard operating procedures*) is discussed before Section C (*Components of an internal control system*) is addressed. Discussion and illustrations of the responses to Section D (*Challenges towards the*

implementation of standard operating procedures) and Section E (*Improving the implementation of procedures and internal control mechanisms*) follows. The first part of the chapter is concluded with the data analysis and findings from Section F (*Writing standard operating procedures*). Matters that required further clarification are identified per section of the questionnaire. Light was shed on these matters during the follow-up interviews which is addressed and analysed in the second part of the chapter.

However, before the individual sections are analysed in detail, the average responses per section (captured as construct on SPSS) is presented. Table 6.8 below presents the statistics.

**Table 6.8: Quantitative data – Descriptive statistics of entire sample**

SPSS OUTPUT DESCRIPTIVE STATISTICS							
Construct	N statistic	Minimum	Maximum	Mean statistic	Standard deviation	Kurtosis	
						Statistic	Std. Error
Use and significance of standard operating procedures	47	2	5	4	.54	-.477	.681
Components of an internal control system	47	2	4	3	.50	.683	.681
Challenges towards the implementation of standard operating procedures	47	2	4	3	.51	.022	.681
Improving the implementation of procedures and internal control mechanisms	47	2	5	4	.63	-.139	.681
Writing standard operating procedures	47	2	4	4	.46	.102	.681
<b>Valid N (list wise)</b>	<b>47</b>						

The statistics in Table 6.8 can be summarised as follows:

- The mean of the construct 'Use and significance of standard operating procedures' is 4 with a standard deviation of 0.54. The scale of the five (5) statements which formed the construct was stated as: 1 = *Strongly Disagree*, 2 = *Disagree*, 3 = *Neutral*, 4 = *Agree*, and 5 = *Strongly Agree*, the mean of 4 implies that on average, the respondents **agreed** that standard operating procedures are important and utilised at the Madibeng Municipality DLTC. The matter is

addressed further in section 6.4.1 (*Use and significance of standard operating procedures*) and 6.5.2 (*Significance of standard operating procedures*).

- The mean of the construct 'Components of an internal control system' is 3 with a standard deviation of 0.50. The scale of the statements which formed the construct was stated as: 1 = *Quality is very poor*, 2 = *Quality is poor*, 3 = *Quality is acceptable*, 4 = *Quality is good* and 5 = *Quality is very good*. Thus, the mean of **3** relates to **Quality is acceptable** and revealed that on average the respondents held that the quality of the components of the internal control system at the MM DLTC is acceptable. Unfortunately, the respondents were indecisive and no definite confirmation was received that the quality of internal control is either very poor or very good. The matter thus needed further clarification and is described below in section 6.4.2 (*Components of an internal control system*) and in section 6.5.3 (*Quality of internal control system components*).
- The mean of the construct 'Challenges towards the implementation of standard operating procedures' is 3 with a standard deviation of 0.51. The scale of the statements which formed the construct was: 1 = *Never*, 2 = *Very rarely*, 3 = *Occasionally*, 4 = *Frequently* and 5 = *Very frequently*. The mean of **3** revealed that on average the respondents held that challenges towards the implementation of standard operating procedures and other internal control mechanisms arise **occasionally** at the Centre. The matter is addressed below in section 6.4.3 (*Challenges towards implementation of standard operating procedures*) and section 6.5.4 (*Challenges towards the implementation of standard operating procedures*).
- The mean of the construct 'Improving the implementation of procedures and internal control mechanisms' is 4 with a standard deviation of 0.63. With the scale of the statements being 1 = *Not complex at all*, 2 = *Limited complexity*, 3 = *Moderately complex*, 4 = *Very complex* and 5 = *Extremely complex*, the mean score of **4** revealed that on average the respondents held that the improvement of current standard operating procedures is **very complex** because the development process requires a high number of resources and time. This construct was further elaborated on by measuring the complexity and analysing organisational objectives, comparing actual performances with set objectives as well as the complexity of evaluating internal control in financial, leadership and performance management. The difficulty of providing timeous feedback on newly accepted procedures and identifying shortcomings in the current internal control system is also described below in detail in section 6.4.4 (*Improving implementation of standard operating procedures*) and in section 6.5.5 (*Improving implementation of procedures and internal control mechanisms*).



- The mean of the construct 'Writing standard operating procedures' is 4 with a standard deviation of 0.46. The scale of the individual statements which formed the construct was stated as: 1 = *Not important at all*, 2 = *Limited importance*, 3 = *Somewhat important*, 4 = *Very important* and 5 = *Extremely important*. The mean of 4 implied that on average, the respondents held that it is **very important** to write standard operating procedures to issue driver licences at the MM DLTC. Based on the mean of 4, it was revealed that the DLTC staff acknowledge the role that standard operating procedures play in complying with legislation. They, therefore, realised that standardised procedures assist when performing routine tasks at the Centre, as described below in section 6.4.5 (*Writing standard operating procedures*) and section 6.5.6 (*Writing standard operating procedures*).

The responses to the individual statements within each section is analysed. At the beginning of each section, a statistical analysis is presented of the significant differences between the mean scores of the different occupational categories. This analysis is based on the One-way Analysis of Variance (ANOVA) model that is generally used to determine the relationships between variables by considering the means and standard deviations. Each section of the questionnaire was captured to apply the ANOVA model as a continuous variable on SPSS, and the occupational categories were created as ordinal variables with five independent choices of occupations. More clarity is provided below.

#### **6.4.1 Use and significance of standard operating procedures**

**Section B** (*Use and significance of standard operating procedures*) of the questionnaire dealt with the respondents' opinions about the significance of determining and revising or updating methods and procedures, including standard operating procedures at the MM DLTC. The aim of this section was to seek responses to the research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' The respondents were requested to indicate their level of agreement with five (5) statements by selecting one of the following options: 1 = *Strongly Disagree*, 2 = *Disagree*, 3 = *Neutral* (neither agree nor disagree), 4 = *Agree* and 5 = *Strongly Agree*.

The interpretation of the responses to the following statements contributed towards reaching the first research objective of the study, namely: conduct a comprehensive exploration of the nature and scope of the determining and revision of methods and procedures:

- **B1:** Standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task(s).
- **B2:** Standard operating procedures promote better utilisation of resources.
- **B3:** Standard operating procedures improve the workflow and increase productivity.
- **B4:** Standard operating procedures ensure that everyone work together as a team to achieve objectives.
- **B5:** Standard operating procedures ensure reliability in the behaviour of individual officials.

The statistical descriptives for **Section B** (*Use and significance of standard operating procedures*) as acquired from the ANOVA model analysis is presented in Table 6.9 below.

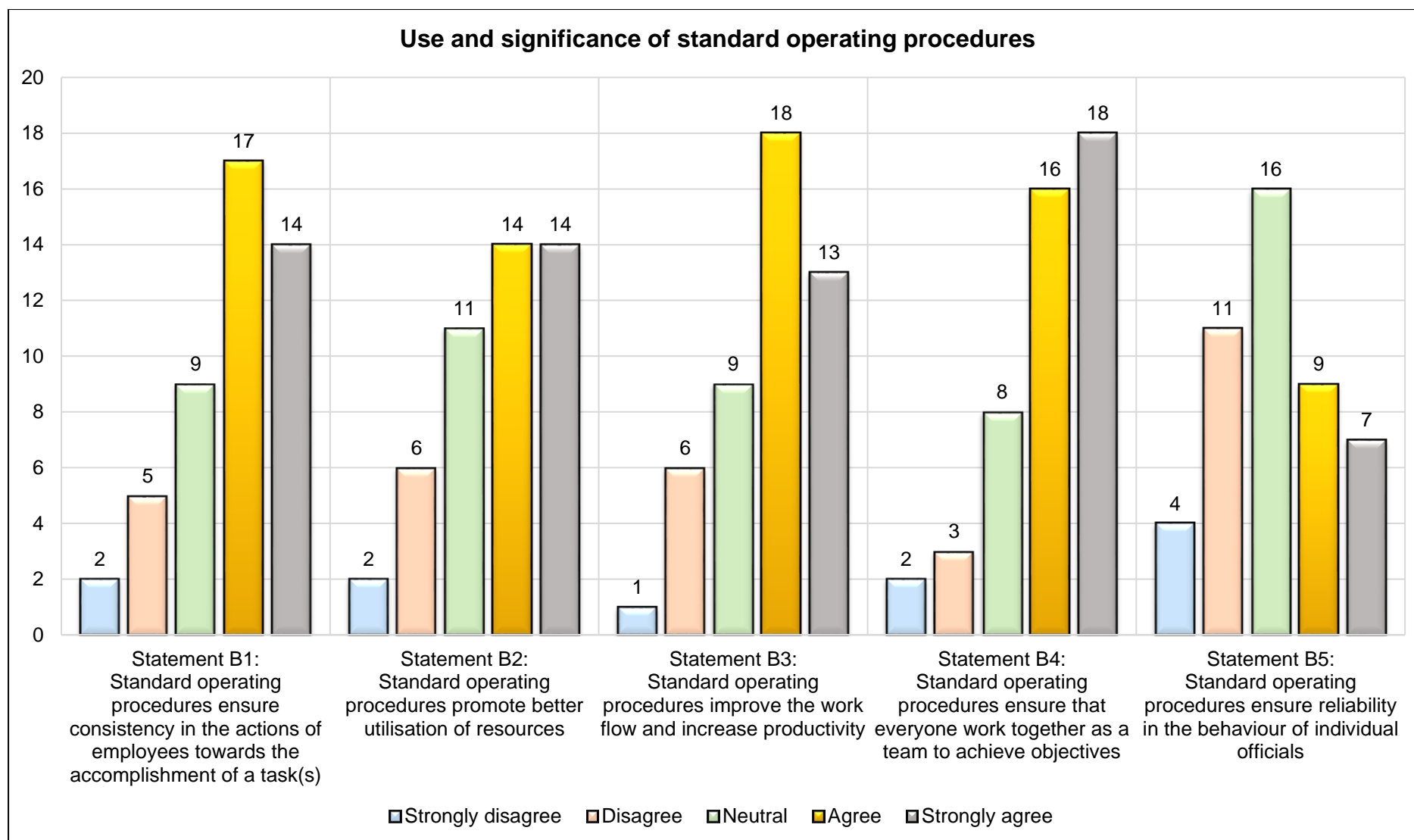
**Table 6.9: Section B: Means and standard deviations**

<b>SPSS DESCRIPTIVES_ USE AND SIGNIFICANCE OF STANDARD OPERATING PROCEDURES</b>								
	<b>N</b>	<b>Mean</b>	<b>Std. deviation</b>	<b>Std. error</b>	<b>95% Confidence Interval for Mean</b>		<b>Minimum</b>	<b>Maximum</b>
					<b>Lower bound</b>	<b>Upper bound</b>		
Management representatives	1	<b>4.20</b>	.	.	.	.	4	4
DLTC supervisors	5	<b>3.84</b>	.261	.117	3.52	4.16	4	4
DLTC front-line employees	13	<b>3.55</b>	.590	.164	3.20	3.91	3	5
eNaTIS cashiers	11	<b>3.91</b>	.517	.156	3.56	4.26	3	5
Examiners for driving licences	17	<b>3.47</b>	.514	.125	3.21	3.74	2	4
<b>Total</b>	<b>47</b>	<b>3.65</b>	<b>.536</b>	<b>.078</b>	<b>3.49</b>	<b>3.81</b>	<b>2</b>	<b>5</b>

It is apparent from the column 'Mean' in the above Table 6.9 that no major differences exist between the opinions of the following occupational categories, namely: 'DLTC supervisors' (3,84), 'DLTC front-line employees' (3,55) and 'eNaTIS cashiers' (3,91). However, the category 'Examiners for driver licences' (3,47) value the significance of standard operating procedures significantly lower than the category 'Management representatives' (4,20). The management of the Centre acknowledges standard

operating procedures as an important tool/mechanism in the current control system, while the examiners for driver licences do not rate the utilisation and significance of standardised procedures as high compared to the other group of respondents. Furthermore, none of the mean scores of the other occupational categories was below 3.00. It can also be deduced that on average, the respondents revealed that standard operating procedures are perceived as significant and required at the MM DLTC.

Detailed findings relating to the statements included in section B of the questionnaire are summarised in Figure 6.5 below. Table 6.10 complements the summary of the responses by complementing percentages to each statement. Detailed analysis and findings of each of the statements follows immediately after Table 6.10.



**Figure 6.5: Section B – Use and significance of standard operating procedures – Total responses**

**Table 6.10: Section B – Use and significance of standard operating procedures – Total responses and percentages**

<b>SPSS CUSTOM TABLE_ TOTAL RESPONSES AND PERCENTAGES: SECTION B</b>							
<b>NO.</b>	<b>STATEMENT</b>	<b>STRONGLY DISAGREE</b>	<b>DISAGREE</b>	<b>NEUTRAL</b>	<b>AGREE</b>	<b>STRONGLY AGREE</b>	<b>TOTALS</b>
<b>B1</b>	Standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task(s).	2 (4%)	5 (11%)	9 (19%)	<b>17 (36%)</b>	14 (30%)	<b>47 (100%)</b>
<b>B2</b>	Standard operating procedures promote better utilisation of resources.	2 (4%)	6 (13%)	11 (23%)	<b>14 (30%)</b>	<b>4 (30%)</b>	<b>47 (100%)</b>
<b>B3</b>	Standard operating procedures improve the workflow and increase productivity.	1 (2%)	6 (13%)	9 (19%)	<b>18 (38%)</b>	13 (28%)	<b>47 (100%)</b>
<b>B4</b>	Standard operating procedures ensure that everyone work together as a team to achieve objectives.	2 (4%)	3 (7%)	8 (17%)	16 (34%)	<b>18 (38%)</b>	<b>47 (100%)</b>
<b>B5</b>	Standard operating procedures ensure reliability in the behaviour of individual officials.	4 (9%)	11 (23%)	<b>16 (34%)</b>	9 (19%)	7 (15%)	<b>47 (100%)</b>

The responses to section B of the questionnaire is illustrated as the total number of responses in Figure 6.5, whilst the related percentages per statement B1 to B5 is included in addition to the number of responses in Table 6.10. An analysis of the data as well as the findings related to each of the five statements follows below.

#### **6.4.1.1 Ensuring consistency in accomplishing tasks**

Methods and procedures offer every official involved in performing a task, an overview of the total actions, so that the official acquires a better understanding of any of the individual steps and detailed activities of the institution or department. In this way, public officials can understand how their seemingly trivial activities relate to an entire task and other activities performed by their colleagues (Nzewi 2015:9 & 12). As stated in Chapter 2, section 2.3.1 (*Theory of scientific management*) standard procedures enable workers to perform routine tasks efficiently. Standard operating procedures thus manifest in a process as a series of steps conducted in a specific manner – primarily in established and routine actions and public official's behaviour (Taylor 1911:21). Standard operating procedures, therefore, ensures consistency in the accomplishment of a task (Nzewi 2013:15-16; Nzewi 2015:9).

Statement B1 (*Standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task(s)*) sought to establish whether the implemented methods and procedures at the MM DLTC equip and enable the employees such that their actions are executed in a consistent manner when completing a task, as advocated by Nzewi (2015:9 & 12). With regard to the data, four percent ( $n=2$ ) strongly disagreed and eleven percent ( $n=5$ ) disagreed that standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task. A total of nineteen percent ( $n=9$ ) of the respondents remained neutral. A significant thirty-six percent ( $n=17$ ) agreed, while thirty percent ( $n=14$ ) strongly agreed with the statement.

Based on the opinions held by the respondents, it is concluded that the (limited) available procedures at the MM DLTC promotes consistency of the employee's actions and behaviour at the Centre. For example, the responsible clerk who issues driver licence cards would be able to repeat the necessary checks to ensure that the cards were manufactured correctly, before the applicant collects the card (NRTR 2000:Regulation 108). Remedial action and intervention by the DLTC supervisors in instances of misprinted driver licence cards is thus limited. Subsequently, demands or queries from unhappy customers would be prevented through consistent actions and constant behaviour as prescribed by standardised procedures.

#### **6.4.1.2 Utilising resources optimally**

Policy implementation as a process of interaction between the determining of objectives and the actions needed to achieve these requires an indication of who need should perform a task, with what resources, when to take action and how to undertake the brief. Public managers have to determine responsibilities, clarify tasks, provide resources, motivate staff and monitor compliance with set methods and procedures (O'Connell, *et al.* 2009:411 & 412). Furthermore, as noted in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*), once methods and procedures have been developed in the form of standard operating procedures, the road has been paved for improved workflow, increased productivity and better utilisation of resources (Alvarez & Hall 2008:830). To test one of these benefits in an environment with limited resources, statement B2 (*Standard operating procedures promote better utilisation of resources*) sought the DLTC employees' opinions of whether standard operating procedures leads to the effective and efficient utilisation of their restricted resources.

In this instance, four percent ( $n=2$ ) of the respondents strongly disagreed, while thirteen percent ( $n=6$ ) disagreed that standard operating procedures promote better utilisation of resources and twenty-three percent ( $n=11$ ) of the respondents remained neutral. A total of thirty percent ( $n=14$ ) of the respondents agreed and another thirty percent ( $n=14$ ) also strongly agreed with the tendency towards effective and efficient utilisation of resources. The majority of the respondents inadvertently realised that standard operating procedures offers the Centre certain advantages.

#### **6.4.1.3 Improving workflow and increased productivity**

As stated in Chapter 2, section 2.5.3 (*Benefits of standard operating procedures*), methods and procedures in the form of standard operating procedures leads to, amongst other advantages, improved workflow, increased productivity and a decrease in the cost of services and products (Alvarez & Hall 2008:830). However, these advantages can only be achieved by using procedures that are accurate and relevant to the applicable work situation. The effective implementation of methods and procedures commences as early as the drafting phase of the procedures. Moreover, the context within which the standard operating procedures will be utilised, should be clearly understood as soon as these are development. It is important that any existing ways of performing a task as well as the workflow, organisational structure, necessary equipment, documents and the relevant legislation is also considered (Scott 2010:112). Statement B3 (*Standard operating procedures improve the workflow and increase productivity*) endeavoured to establish whether the respondents from the MM DLTC held that standard operating procedures at the Centre improves the workflow

and, as a result, also increases productivity. Should the majority responses lean towards better workflow and increased productivity, the data will confirm that the existing procedures could be utilised as a foundation for the development of a new and updated set of standard operating procedures.

Two percent ( $n=1$ ) of the respondents strongly disagreed and thirteen percent ( $n=6$ ) disagreed with the notion that standard operating procedures improves the workflow and increases productivity, while nineteen percent ( $n=9$ ) of the respondents remained neutral (neither agreed nor disagreed). A significant majority of the respondents agreed with the assertion that there is a link between standard operating procedures and the progress (or rate of progress) in work being done. A total of thirty-eight percent ( $n=18$ ) agreed and twenty-eight percent ( $n=13$ ) agreed quite strongly. The majority of the responses, sixty-six percent (thirty-eight percent plus twenty-eight percent) in total, thus either agreed or strongly agreed that standard operating procedures at the MM DLTC results in improved workflow in issuing driver licences as well as increased productivity, which ultimately results in effective and efficient public service delivery (Clark 2015). The findings revealed that minimum procedures exist at the MM DLTC and concurs with the assumption. The existing procedures were utilised as a basis for the newly developed procedures.

#### **6.4.1.4 Achieving objectives through teamwork**

Officials who are involved in a specific step of a task can consult the standard operating procedures to acquire a clearer understanding of how their activities relate to those of their colleagues. Consistency of the individual official's actions in the accomplishment of the task is thus assured because they are informed of the combined actions/steps (Nzewi 2013:15 & 16). Standard operating procedures to issue driver licences is communicated to the DLTC officials so that they are aware of how to achieve the objectives as a team namely: testing learner and driver applicants and the subsequent issuing of the appropriate licence should the person pass the test. So, with the use of standard operating procedures, DLTC employees could work collaboratively regardless of whether they are aware of every detail of their colleagues functions (Alvarez & Hall 2008:830). Statement B4 (*Standard operating procedures ensure that everyone work together as a team to achieve objectives*) sought to confirm whether methods and procedures promote standardisation for a chain of different actions as it structures the way in which officials perform their duties as a team (Evans & Dean 2003:148).

With regard to the number of responses received, four percent ( $n=2$ ) of the respondents strongly disagreed, while seven percent ( $n=3$ ) of the respondents disagreed that standard operating procedures ensure that everyone works together as



a team to achieve the objectives. Seventeen percent ( $n=8$ ) of the respondents remained neutral, thirty-four percent ( $n=16$ ) agreed, while thirty-eight percent ( $n=18$ ) agreed strongly with the statement that standardised procedures boost teamwork at their office. The overwhelming sentiment seems to be that the implementation and utilisation of standard operating procedures leads to the achieving objectives through teamwork.

#### **6.4.1.5 Encouraging reliable behaviour among individual officials**

As described in Chapter 2, section 2.2.1.3 (*Era of challenge (1938 – 1947)*), a human behavioural approach surfaced in the discipline Public Administration during the paradigm 1938 to 1947 when the discipline evolved as a separation from its co-discipline, Political Science (Thornhill, *et al.* 2014:9). The human dimension encouraged the study of the individual and his/her behaviour in public institutions and rejected resilient control over an individual's behaviour in the workplace (Basheka 2012:44). Consequently, public workplaces were redefined as social situations. Stagnant and fixed procedures were rejected (Shafritz & Hyde 2007:66). Following these developments, it is expected that methods and procedures will guide the official's actions when interpreting and executing public policy and not control their behaviour (Reddy & Govender 2014:159 & 160).

Against this background, and enhance the study of the nature and scope of determining and revision of methods and procedures, statement B5 (*Standard operating procedures ensure reliability in the behaviour of individual officials*) was formulated to acquire knowledge of modern day respondents' views of the influence of standard operating procedures on an individual official's behaviour in the workplace, specifically, the MM DLTC. It is significant that thirty-four percent ( $n=16$ ) of the respondents neither agreed nor disagreed with the statement, that is, they were not prepared to commit themselves either way. Of those respondents who committed themselves, twenty-three percent ( $n=11$ ) of the respondents disagreed, while a further nine percent ( $n=4$ ) disagreed vehemently. In contrast, nineteen percent ( $n=9$ ) agreed, while only fifteen percent ( $n=7$ ) of the respondents agreed strongly that standard operating procedures can be used as a management tool to control the behaviour of individual officials, as supported by Nzewi (2017:3). It can be inferred from the majority of the respondents who remained neutral that standard operating procedures ensures reliability in individual official's behaviour, which requires freedom and flexibility to a certain extent. However, when reflecting on the confirmation that standard operating procedures lead to the achievement of objectives through teamwork, as explained in above section 6.4.1.4 (*Achieving objectives through teamwork*), it can be deduced that standardised procedures promotes the behaviour of groups of individuals who perform

a sequence of steps to complete a task. The human behavioural notion is thus still applicable today. Standard operating procedures are only utilised as decentralised procedures developed through a bottom-up approach in which accurate, complete, appropriate and truthful evidence supports the requests for new procedures and/or amendments (Nzewi 2015:26-28).

In summary, the responses to section B of the questionnaire complimented the theory included in Chapter 5, section 5.7 (*Driving licence testing centre: Madibeng Municipality*) and respond to the research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' Below, a summary of the findings:

- Although outdated, the existing procedures at the MM DLTC aims to promote consistency in the employee's actions.
- Standard operating procedures promotes better utilisation of resources at the DLTC.
- The implementation of standard operating procedures leads to improved workflow in issuing driver licences as well as increased productivity at the Centre.
- The use of standard operating procedures contributes towards the achievement of objectives through teamwork.
- Rigid and stagnant standardised procedures impedes reliability in the behaviour of individual officials.

This concludes the section on **Section B** (*Use and significance of standard operating procedures*) of the questionnaire. **Section C** (*Components of an internal control system*) of the questionnaire is discussed below.

#### **6.4.2 Components of an internal control system**

Since the implementation of an internal control system is a legal requirement for municipalities (see Chapter 3, section 3.2.2 (*Internal control system defined*)), the question arises: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' This question was answered in Chapter 3, section 3.6 (*Internal control system*). The control environment, risk assessment, control mechanisms, information and communication, and monitoring was expounded upon as the primary components of an internal control system. However, to find solutions to the research problem: the lack of contemporary and relevant standard operating procedures impedes the effective issuing of driver

licences at the MM DLTC, it is necessary to test the quality of the components. Consequently, **Section C** (*Components of an internal control system*) of the questionnaire dealt with the respondents' opinion of the quality of the components of the internal control system and mechanisms at the DLTC. The aim of section C of the questionnaire was to establish the quality of the minimum required components to design an internal control system and mechanisms for the MM DLTC.

The respondents were requested to consider whether the quality of the components is fit for its purpose. The questionnaire presented five (5) statements and the respondents had to select a number between 1 and 5: 1 = *Quality is very poor*, 2 = *Quality is poor*, 3 = *Quality is acceptable*, 4 = *Quality is good* and 5 = *Quality is very good*. (In this context, the term *poor* implied that the quality of the control mechanisms is bad).

The statements to which the respondents were requested to respond are listed below:

- **C1:** Guidelines and minimum standards for the implementation of internal control mechanisms.
- **C2:** Risk assessment processes and risk management structures.
- **C3:** Control mechanisms, such as policies, balancing procedures and supervision that ensure management's directives are carried out.
- **C4:** Information and communication channels are clear and accessible to all employees.
- **C5:** Monitoring and evaluation by management to assess the internal control system.

The individual statements included in section C (*Components of an internal control system*) represented internal control components that establishes the foundation for sound control in public institutions. The assumption that these components exist at the Madibeng Municipality was proven correct by Manager A during the personal interview, which is described below in section 6.5.3 (*Quality of internal control system components*). The second objective of the study namely: evaluate the implementation of standard operating procedures as an internal control mechanism was achieved by critically reviewing the internal control system and mechanisms at the MM DLTC and by formulating relevant conclusions and recommendations that could be of value to the Madibeng Municipality. This was achieved through an extensive literature review presented in Chapter 3 and interpreting the data results received in response to the individual statements included in section C of the questionnaire.

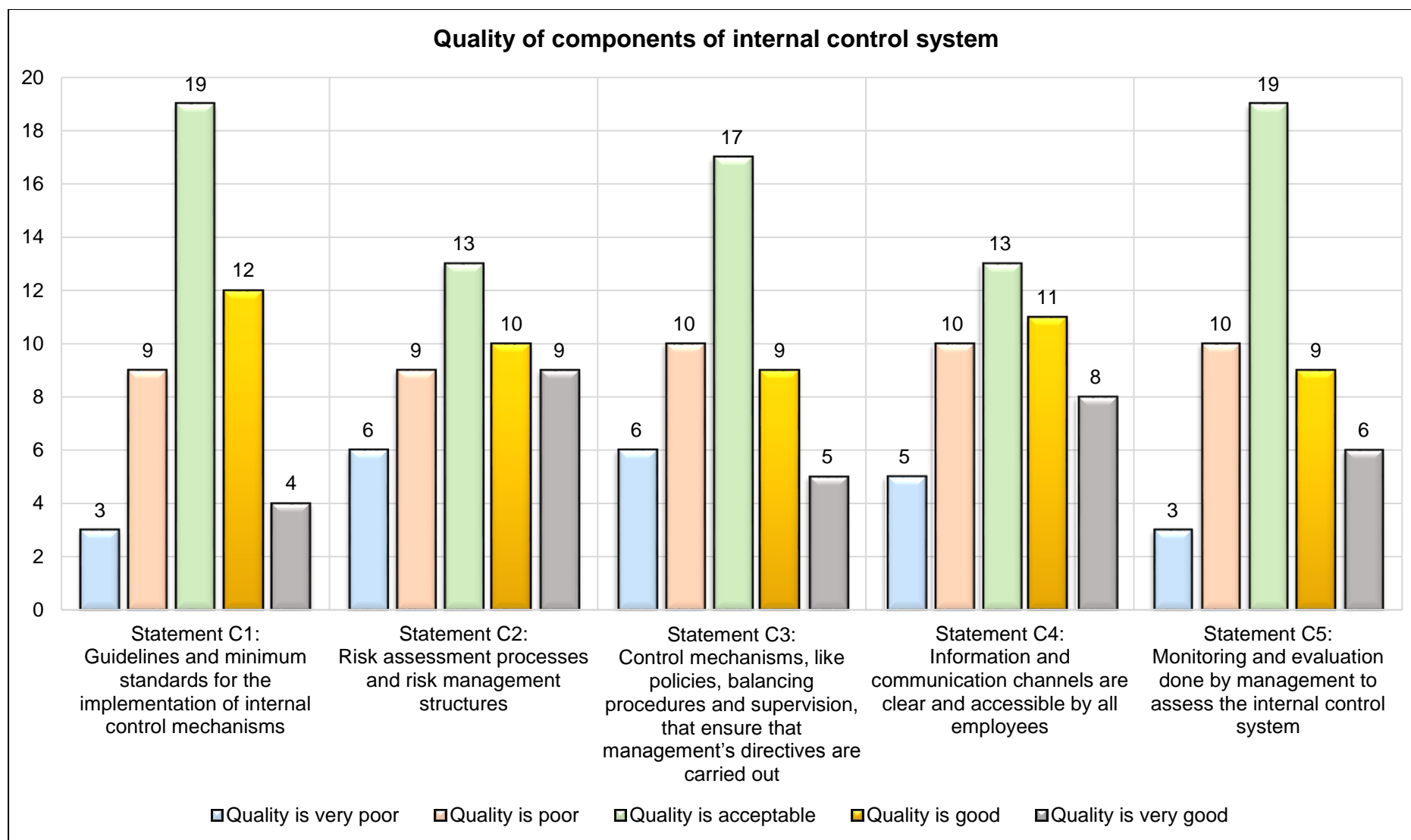
Before addressing the statements included in section C, general trends in the responses from the different occupational categories is discussed briefly. The following summary of the general responses to the individual statements was acquired by applying the ANOVA model on SPSS. As explained above, the ANOVA model was used to test for significant differences between the Section C mean scores for the different occupational categories as illustrated in Table 6.11 below.

**Table 6.11: Section C: Means and standard deviations**

<b>SPSS DESCRIPTIVES_ COMPONENTS OF AN INTERNAL CONTROL SYSTEM</b>								
	<b>N</b>	<b>Mean</b>	<b>Std. deviation</b>	<b>Std. error</b>	<b>95% Confidence interval for mean</b>		<b>Mini- mum</b>	<b>Maxi- mum</b>
					<b>Lower bound</b>	<b>Upper bound</b>		
Management representatives	1	<b>3.40</b>	.	.	.	.	3	3
DLTC supervisors	5	<b>3.40</b>	.510	.228	2.77	4.03	3	4
DLTC front-line employees	13	<b>3.15</b>	.384	.107	2.92	3.39	2	4
eNaTIS cashiers	11	<b>2.93</b>	.467	.141	2.61	3.24	2	4
Examiners for driving licences	17	<b>3.04</b>	.597	.145	2.73	3.34	2	4
<b>Total</b>	<b>47</b>	<b>3.09</b>	<b>.504</b>	<b>.073</b>	<b>2.94</b>	<b>3.24</b>	<b>2</b>	<b>4</b>

It is apparent from the above Table 6.11 that no major differences exist between the opinions of the respondents of the following occupational categories, namely: 'Management representatives' (3,40), 'DLTC supervisors' (3,40), 'DLTC front-line employees' (3,15) and 'Examiners for driver licences' (3,04). However, the responses from the group 'eNaTIS cashiers' (2,93) revealed that the cashiers at the Centre perceive the quality of the components of the internal control system much lower than the other occupational categories. A possible explanation for the cashier's perspective could be that the cashiers at the MM DLTC know how to manipulate the eNaTIS internal controls.

Additional findings relating to the statements included in section C of the questionnaire are summarised below in Figure 6.6. Table 6.12 complements the summary of the responses in Figure 6.6. Percentages are provided for each statement. Detailed analysis and findings of each one of the statements follows immediately after Table 6.12.



**Figure 6.6: Section C – Components of an internal control system – Total responses**

**Table 6.12: Section C – Components of an internal control system – Total responses and percentages**

<b>SPSS CUSTOM TABLE_ TOTAL RESPONSES AND PERCENTAGES: SECTION C</b>							
<b>NO.</b>	<b>STATEMENT</b>	<b>QUALITY IS VERY POOR</b>	<b>QUALITY IS POOR</b>	<b>QUALITY IS ACCEPTABLE</b>	<b>QUALITY IS GOOD</b>	<b>QUALITY IS VERY GOOD</b>	<b>TOTALS</b>
<b>C1</b>	Guidelines and minimum standards for the implementation of internal control mechanisms.	3 (7%)	9 (19%)	<b>19 (40%)</b>	12 (25%)	4 (9%)	<b>47 (100%)</b>
<b>C2</b>	Risk assessment processes and risk management structures.	6 (13%)	9 (19%)	<b>13 (28%)</b>	10 (21%)	9 (19%)	<b>47 (100%)</b>
<b>C3</b>	Control mechanisms, like policies, balancing procedures and supervision, that ensure that management's directives are carried out.	6 (13%)	10 (21%)	<b>17 (36%)</b>	9 (19%)	5 (11%)	<b>47 (100%)</b>
<b>C4</b>	Information and communication channels are clear and accessible by all employees.	5 (11%)	10 (21%)	<b>13 (28%)</b>	11 (23%)	8 (17%)	<b>47 (100%)</b>
<b>C5</b>	Monitoring and evaluation done by management to assess the internal control system.	3 (7%)	10 (21%)	<b>19 (40%)</b>	9 (19%)	6 (13%)	<b>47 (100%)</b>

An analysis of the data as well as the findings related to each of the five statements follows below.

#### **6.4.2.1 Guidelines and standards for internal control mechanisms**

The control environment can be regarded as the foundation on which the other components of internal control are built, and includes the governance and management functions of an organisation. It focuses largely on the actions of those responsible for designing guidelines for the implementation and monitoring of internal control in the organisation, which was discussed in Chapter 3, section 3.6.1.1 (*Control environment*). Well-communicated guidelines for the implementation of internal control mechanisms ease the achievement of organisational specific goals (Kgomo & Plant 2015:87-89).

Statement C1 (*Guidelines and minimum standards for the implementation of internal control mechanisms*) intended to establish the quality of the DLTC's guidelines and minimum standards for the implementation of internal control mechanisms from MM DLTC employees and management. Seven percent ( $n=3$ ) of the respondents selected very poor while nineteen percent ( $n=9$ ) revealed that the quality is poor. However, forty percent ( $n=19$ ) of the respondents held that the guidelines, requirements and minimum standards are acceptable, but neither poor nor good. Only twenty-five percent ( $n=12$ ) held that the quality of the minimum standards for the implementation of internal control mechanisms is good, while nine percent ( $n=4$ ) revealed that is of very good quality. The majority of the respondents (forty percent) were undecided and revealed that the guidelines for the implementation of internal control measures is adequate and of average quality. Consequently, it could not be established whether the quality of the guidelines is good. It can be inferred that there is room for improvement of the guidelines, requirements and minimum standards. Moreover, poor guidelines for the implementation of internal control mechanisms may lead to insufficient monitoring and evaluation of the internal control system. Further clarification of the quality of the available guidelines at the MM DLTC is necessary. The question: "*Please elaborate on the quality of the guidelines for the implementation of internal control at the DLTC*" was posed and discussed during the interviews.

#### **6.4.2.2 Risk assessment processes and risk management structures**

The concept 'risk' was clarified in Chapter 3, section 3.6.1.2 (*Risk assessment*), as a measurement of uncertainty, while risk assessment processes focuses on how management determines the risks in an organisation and manage uncertainties. The complexity of these processes vary depending on the nature and size of an organisation. However, if an organisation has standard procedures to identify and

assess the risks it faces, uncertainties and the probability of the occurrence of risks would be lower. Risk management is the total process of identifying, assessing, controlling and mitigating risks that may adversely affect operations and the achievement of an organisation's goals and objectives (Fourie 2007a:739 & 740).

Statement C2 (*Risk assessment processes and risk management structures*) tested whether the risk assessment processes and risk management structures require revision and improvement. The results revealed that thirteen percent ( $n=6$ ) of the respondents selected very poor while nineteen percent ( $n=9$ ) held that the quality of the risk assessment processes and risk management structures is poor. A total of twenty-eight percent ( $n=13$ ) of the respondents selected acceptable, while twenty-one percent ( $n=10$ ) selected good. The remaining nineteen percent ( $n=9$ ) of the respondents held that the quality of the risk assessment processes and risk management structures is very good. It can be inferred that the risk assessment processes and risk management structures of the MM DLTC requires minimum revision to eventually guarantee improved internal control at the DLTC. This inference is based on forty percent of respondents who selected either good or very good.

#### **6.4.2.3 Internal control activities/mechanisms**

The control activities or mechanisms includes the policies and procedures designed to ensure that management directives are executed throughout the organisation. Examples of specific control mechanisms include the organisational structure, segregation of duties, written policies and procedures, physical and mechanical control, authorisation and approval, accounting controls, training of staff, supervision, management as well as information and communications technology (Auditor-General 2015:Online). (Refer to Chapter 3, section 3.7 (*Internal control mechanisms*) for a brief description of each one of these control mechanisms.) Statement C3 (*Control mechanisms, such as policies, balancing procedures and supervision ensures that management's directives are carried out*) endeavoured to establish whether the control mechanisms ensured the execution of specific management functions.

A total of thirteen percent ( $n=6$ ) of the respondents selected very poor while twenty-one percent ( $n=10$ ) revealed that the quality of the control mechanisms utilised to execute management's directives at the MM DLTC is poor. A total of thirty-six percent ( $n=17$ ) of the respondents held that the quality is acceptable. Only nineteen percent ( $n=9$ ) of the staff was convinced that the quality of the control mechanisms, such as policies, balancing procedures and supervision is good, while eleven percent ( $n=5$ ) selected very good. If a grand total of thirty-four percent held that the quality of the internal control mechanisms is very poor or poor, and thirty-six percent of the



respondents revealed that the quality is average, it can be concluded that the implemented internal control mechanisms at the MM DLTC is of poor quality.

In summary, a total of thirty-four percent of the respondents held that the quality of the internal control mechanisms is very poor or poor, while thirty-six percent of revealed that the quality is average. It can thus be concluded that the internal control mechanisms of the MM DLTC is of poor quality. It can be inferred that the standard of the internal control mechanisms lacks excellence. Inadequate control mechanisms could probably result in poor customer service in the absence of minimum standards. As a result, the question: “*Please elaborate on the implemented internal control mechanisms at the DLTC*” was posed during the interviews. (The internal control mechanisms at the MM DLTC was discussed in detail in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*). The identified lack or incomplete standard operating procedures was developed and included in Chapter 5.)

#### **6.4.2.4 Information and communication channels**

Section 3.6.1.4 (*Information and communication*) of Chapter 3 dealt briefly with the importance of producing relevant, timely and reliable information in an organisation. An underlying feature of providing accurate and relevant information at the right time to the relevant role-players, implies that information and communication systems include prescribed procedures for the recording, processing and reporting of financial transactions as well as maintaining accountability for assets, liabilities and equity (Tshiyoyo 2017:177-182). Statement C4 (*Information and communication channels are clear and accessible to all employees*) tested whether the information and communication channels at the MM DLTC conform to the requirements and minimum standards. Moreover, statement C4 also tested whether communication at the Centre is clear and the employees can access the necessary information sources with ease.

Eleven percent ( $n=5$ ) of the respondents selected very poor (very bad) while twenty-one percent ( $n=10$ ) revealed that the quality is poor and not good. Twenty-eight percent ( $n=13$ ) held that the quality of information and communication at the MM DLTC is acceptable or satisfactory. The majority of the respondents revealed that the quality is high. A total of twenty-three percent ( $n=11$ ) of the respondents selected good while a total of seventeen percent ( $n=8$ ) of the staff was convinced that the quality of the information and communication channels is very good, clear and accessible to all employees. This implies that information and communication channels at the MM DLTC is perceived to be effective.

As indicated in Chapter 5, section 5.4.5 (*Setting the scene for driver fitness (1990 – 1998)*), the eNaTIS driver fitness module is utilised to capture and process the

applications and issue learner and driver licences, including professional driver permits. Statement C4 (*Information and communication channels are clear and accessible by all employees*) did not specifically request input of the utilisation of eNaTIS as a vehicle to capture applications, record of test results, issue licences, order driver licence cards and print receipts, as described in Chapter 5, section 5.7.4.10 (*Information and communications technology: eNaTIS*). However, the use of eNaTIS and the performance of its procedures falls outside the scope of this study.

#### **6.4.2.5 Monitoring and evaluation of internal control system**

The monitoring and evaluation of an internal control system is the process of assessing the continued effectiveness of the individual control mechanisms and recommend necessary remedial action when required. Monitoring can either be ongoing or performed as a once-off evaluation exercise. Either way, monitoring and evaluation must be effective for an internal system to operate as required (Arwinge 2013:50). This aspect is discussed in Chapter 3, section 3.6.1.5 (*Monitoring*). Against this background, statement C5 (*Monitoring and evaluation executed by management to assess the internal control system*) measured the quality of the processes followed to assess the internal control activities and mechanisms at the MM DLTC.

In this instance, seven percent ( $n=3$ ) of the respondents held that the quality is very poor, while twenty-one percent ( $n=10$ ) revealed that the quality of the monitoring and evaluation executed by Centre management to assess the internal control system, is poor. The majority of the respondents held that the monitoring and evaluation executed by management is adequate, while forty percent ( $n=19$ ) selected acceptable. Nineteen percent ( $n=9$ ) of the respondents were convinced that the quality is very good while thirteen percent ( $n=6$ ) held it is good. Since the majority of the respondents selecting 'Quality is acceptable', it cannot be concluded that the quality of the monitoring and evaluation executed by management to assess the internal control system is either bad or good. It can be inferred that the respondents were not convinced that monitoring and evaluation at the MM DLTC is executed as required. As a result, the interview question: "*Please elaborate on the internal control mechanisms in place at the DLTC*" was posed to Centre management. Seeking responses to the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' the manner in which standard operating procedures should accommodate relevant policy documents/records was also questioned during the follow-up interviews. Refer to section 6.5.3 below (*Quality of internal control system components*) for more detail.

In summary, the responses to section C of the questionnaire applied the components identified in Chapter 3, section 3.6.1 (*Components of an internal control system*) at the

MM DLTC and respond the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' The following findings were revealed:

- **Control environment:** The guidelines, requirements and minimum standards for the design and implementation of the Centre's internal control mechanisms are acceptable but not necessarily poor or sound.
- **Risk assessment:** The risk assessment processes and risk management structures at the MM DLTC requires revision to guarantee improved internal control at the Centre.
- **Control mechanisms:** In general, the current internal control mechanisms at the MM DLTC, are of poor quality.
- **Information and communication:** The information and communication channels at the MM DLTC are perceived effective.
- **Monitoring:** Uncertainty exists of the monitoring and evaluation conducted by management to assess the internal control system at the Centre.

The responses to **Section D** (*Challenges towards the implementation of standard operating procedures*) of the questionnaire is discussed in the following section.

#### **6.4.3 Challenges towards implementation of standard operating procedures**

**Section D** (*Challenges towards the implementation of standard operating procedures*) aimed to review existing challenges towards the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC, that is, find answers to the research question: 'What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?' Section D of the questionnaire dealt with the respondents' opinion of how frequently the listed challenges or barriers occur at the Centre. The questionnaire presented five (5) statements. The respondents had to indicate how frequently the following features influence the implementation of internal control mechanisms, by selecting a number between 1 and 5: 1 = *Never*, 2 = *Very rarely*, 3 = *Occasionally*, 4 = *Frequently* and 5 = *Very frequently*.

The following challenges to which the respondents had to respond were identified for inclusion in the questionnaire because aspects such as supervision, clear objectives, realistic expectation, accountability and willingness to implement procedures, is the foundation for effective policy implementation on the operational level:

- **D1:** Rigid and unyielding supervision.
- **D2:** Lack of understanding objectives that should be met.
- **D3:** Unrealistic expectations set by management.
- **D4:** Deliberate attempts to obstruct or prevent accountability.
- **D5:** Resistance to implement standard operating procedures.

Before addressing the individual statements included in section D, general trends in the responses from the different occupational categories is attended to briefly. The results from the test for significant differences between the mean scores in section D for the different occupational categories in the MM DLTC are indicated below in Table 6.13:

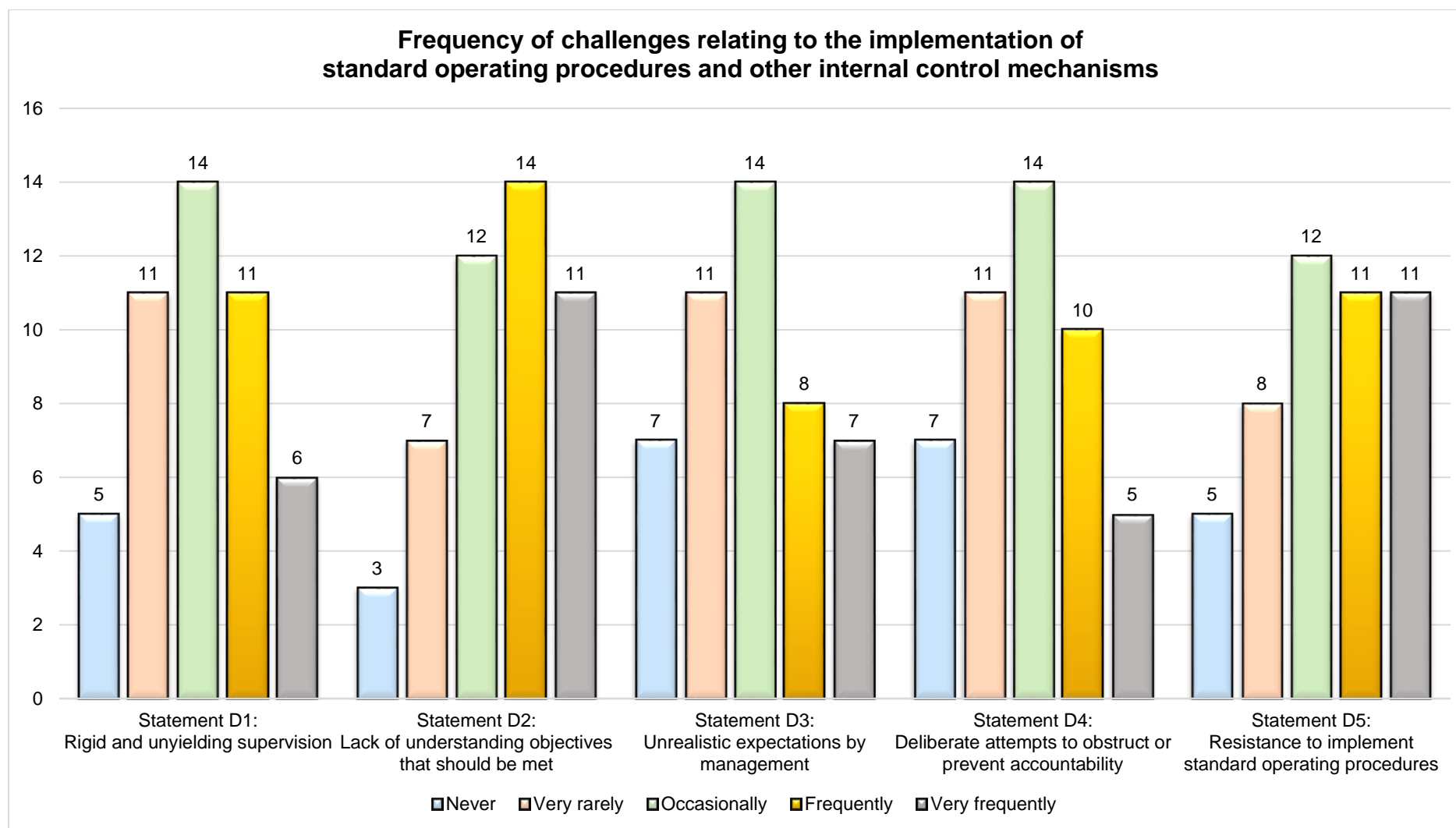
**Table 6.13: Section D: Means and standard deviations**

SPSS DESCRIPTIVES_ CHALLENGES TOWARDS THE IMPLEMENTATION OF STANDARD OPERATING PROCEDURES								
	N	Mean	Std. deviation	Std. error	95% Confidence interval for mean		Mini- mum	Maxi- mum
					Lower bound	Upper bound		
Management representatives	1	3.00	.	.	.	.	3	3
DLTC supervisors	5	3.32	.228	.102	3.04	3.60	3	4
DLTC front-line employees	13	2.98	.532	.148	2.66	3.31	2	4
eNaTIS cashiers	11	3.16	.520	.157	2.81	3.51	2	4
Examiners for driving licences	17	3.19	.559	.136	2.90	3.48	2	4
<b>Total</b>	<b>47</b>	<b>3.14</b>	<b>.508</b>	<b>.074</b>	<b>2.99</b>	<b>3.29</b>	<b>2</b>	<b>4</b>

The means and standard deviations from the ‘challenges towards the implementation of standard operating procedures’ is illustrated in Table 6.13. No major differences existed between the respondents of the different occupational categories, namely: management representatives (3,00), DLTC supervisors (3,32), eNaTIS cashiers (3,16), and examiners for driver licences (3,19). However, the responses from the DLTC front-line employees (2,98) held that the challenges listed in the five statements included in section D, hardly ever occurs which is contrary to the other occupational categories who held that it appears often. The administrative and filing clerks who were

grouped as front-line employees, are employed at a lower grade compared to other occupational categories. Consequently, they are supervised closely. This could be the reason why they perceive the implementation of standard operating procedures and other internal control mechanisms as less challenging.

Findings relating to the above statements are summarised below in Figure 6.7. Table 6.14 complements the summary of the responses in Figure 6.7 – percentages to each statement is provided. Detailed analysis and findings of each one of the statements follows immediately after Table 6.14.



**Figure 6.7: Section D – Challenges towards the implementation of standard operating procedures – Total responses**

**Table 6.14: Section D – Challenges towards the implementation of standard operating procedures – Total responses and percentages**

SPSS CUSTOM TABLE_ TOTAL RESPONSES AND PERCENTAGES: SECTION D							
NO.	STATEMENT	NEVER	VERY RARELY	OCCASIONALLY	FREQUENTLY	VERY FREQUENTLY	TOTALS
<b>D1</b>	Rigid and unyielding supervision.	5 (11%)	11 (23%)	<b>14 (30%)</b>	11 (23%)	6 (13%)	<b>47 (100%)</b>
<b>D2</b>	Lack of understanding objectives that should be met.	3 (7%)	7 (15%)	12 (25%)	<b>14 (30%)</b>	11 (23%)	<b>47 (100%)</b>
<b>D3</b>	Unrealistic expectations set by management.	7 (15%)	11 (23%)	<b>14 (30%)</b>	8 (17%)	7 (15%)	<b>47 (100%)</b>
<b>D4</b>	Deliberate attempts to obstruct or prevent accountability.	7 (15%)	11 (23%)	<b>14 (30%)</b>	10 (21%)	5 (11%)	<b>47 (100%)</b>
<b>D5</b>	Resistance to implement standard operating procedures.	5 (11%)	8 (17%)	<b>12 (26%)</b>	11 (23%)	11 (23%)	<b>47 (100%)</b>

The total number of responses as well as the related percentages per statement D1 to D5 is listed in Table 6.14. The data analysis and the findings relating to each of the five statements is presented in the following sections.

#### **6.4.3.1 Rigid and unyielding supervision**

It was highlighted in Chapter 3, section 3.7.8 (*Supervision*) that supervisors need to ensure that individuals perform tasks assigned to them properly. However, in an attempt to prevent any deviations from the standardised procedures, supervisors often overplay their hands. Unfortunately, rigid and unyielding supervision is often practiced in the public sector to correct problems as remedial action can be very costly (Visser & Erasmus 2015:288). Statement D1 (*Rigid and unyielding supervision*) thus sought to establish whether overly rigid supervision is practiced at the MM DLTC.

The results revealed that eleven percent ( $n=5$ ) of the respondents held that rigid and unyielding supervision never occurs, while twenty-three percent ( $n=11$ ) of the respondents felt that it occurs very rarely at the Centre. Twenty-three percent ( $n=11$ ) of the respondents held that rigid and unyielding supervision occurs frequently, while thirteen percent ( $n=6$ ) felt that it occurs very frequently. It is noteworthy if not disconcerting that the majority of the responses, thirty percent ( $n=14$ ), opted occasionally. Thus, the majority of the respondents were indecisive. Essentially, it implies that the supervision at the Centre could not be established with certainty.

#### **6.4.3.2 Lack of understanding objectives that should be met**

The theoretical origin of standard operating procedures was traced back to Frederick Taylor's theory of scientific management in Chapter 2, section 2.3 (*Theoretical foundations of methods and procedures*). Taylor (1911:21,36 & 37) believed that if standards were established and job processes controlled by management, individual workers would strive to outperform the group average. In this way, efficiency at the workplace would be maximised through standard procedures. To achieve this, Taylor stressed that procedures should focus on the organisation's objectives.

By testing the DLTC staff responses to statement D2 (*Lack of understanding objectives that should be met*), the researcher aimed to establish their general familiarity with the objectives that should be met. The data revealed that seven percent ( $n=3$ ) of the respondents were convinced that there is never a lack of understanding the Centre's objectives, while fifteen percent ( $n=7$ ) revealed that it happens very rarely. Twenty-five percent ( $n=12$ ) of the respondents selected occasionally. The majority of the respondents, thirty percent ( $n=14$ ) selected frequently, while twenty-three percent ( $n=11$ ) agreed that a lack of understanding the objectives exists very frequently at the DLTC. Despite these responses, it is imperative that clear steps and instructions of



how to reach organisational objectives be specified as accentuated in section 2.2.2.2 (*Open school of thought*) of Chapter 2.

#### **6.4.3.3 *Unrealistic expectations set by management***

As stated in Chapter 3, section 3.7.9 (*Management*), managers have to ensure that institutional objectives are reached by maintaining an internal control system. When developing new methods and procedures or revising existing procedures, public managers need to identify officials who will be affected by the procedures. Moreover, they have to ensure that the standard operating procedures are appropriate and conform to the aims and objectives of the organisation. To achieve this, and guide the officials of how to implement the procedures, management determines minimum requirements or expectations which must be met by their subordinates. However, these requirements need to be practicable and attainable by the relevant employee(s) (Visser & Erasmus 2015:278). Hence, statement D3 (*Unrealistic expectations set by management*) endeavoured to establish whether workable ideas are set by the MM DLTC management.

It is significant that fifteen percent ( $n=7$ ) of the respondents selected never, while twenty-three percent ( $n=11$ ) reflected that expectations are very rarely unrealistic. The results further revealed that thirty percent ( $n=14$ ) of the respondents held that expectations are occasionally impossible to reach. Seventeen percent ( $n=8$ ) of the respondents selected frequently, while fifteen percent ( $n=7$ ) reported that expectations are very frequently unrealistic and impossible to achieve. The overwhelming sentiment seemed that the expectations set for the DLTC staff is occasionally impractical. Nevertheless, when combining the responses from 'Never' and 'Very rarely', a total of thirty-eight percent ( $n=18$ ) of the respondents held that the expectations for the Centre are fair and realistic. Should this be the case, growth and development at the MM DLTC is possible.

#### **6.4.3.4 *Deliberate attempts to obstruct accountability***

Statement D4 (*Deliberate attempts to obstruct or prevent accountability*) sought to establish perceived opinions about deliberate attempts to prevent DLTC staff from responding publicly their intentions, decisions, actions and behaviour. In this instance, only fifteen percent ( $n=7$ ) of the respondents indicated that obstruction towards accountability never occurs, while twenty-three percent ( $n=11$ ) held that it very rarely occurs. However, a significant thirty percent ( $n=14$ ) of the respondents were convinced that deliberate attempts to obstruct or prevent accountability is attempted occasionally at the MM DLTC. Twenty-one percent ( $n=10$ ) selected frequently, while the remaining eleven percent ( $n=5$ ) revealed that attempts to evade accountability

intentionally, occurs very frequently at the Centre. Based on this evidence, it can be concluded that the majority of the respondents held that accountability is occasionally ignored at the DLTC.

#### **6.4.3.5 Resistance to implement standard operating procedures**

As stated in Chapter 2, section 2.4.5 (*Circumstances that necessitate methods and procedures*) the improvement of methods and procedures necessitates the opinion and input from all relevant employees. In this way, the officials involved in the revision and development of standardised procedures will accept ownership of the procedures. Their buy-in will be secured and resistance to the implementation of the procedures will be minimised (Clark 2015). Statement D5 (*Resistance to implement standard operating procedures*) sought to determine how regularly resistance to implement standard operating procedures at the MM DLTC occurs. Ultimately, this statement tested whether the respondents accepted ownership of the procedures of the Centre.

With regard to the number of responses received, eleven percent ( $n=5$ ) of the respondents revealed that there is no willingness to implement standard operating procedures and internal control at the MM DLTC, while seventeen percent ( $n=8$ ) were convinced that resistance to implementing standard operating procedures occurs very rarely among their colleagues. A total of twenty-six percent ( $n=12$ ) held that the DLTC staff are only occasionally unwilling to implement procedures, while twenty-three percent ( $n=11$ ) of the respondents selected frequently. Twenty-three percent ( $n=11$ ) revealed that resistance to implementing standard operating procedures occurs very frequently. Based on the majority of the respondents who held that the DLTC staff is occasionally unwilling to implement standard procedures. It can be inferred that resistance to implement standard operating procedures does occur at the Centre. However, the exact extent thereof could not be established. This matter, therefore, needs to be explored further to respond to the research question: 'What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?'

The responses to section D of the questionnaire aimed to respond to the research question: 'What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?' is summarised below:

- The approach to supervision at the MM DLTC could not be established with absolute certainty.

- On average, the expectations set by the DLTC management is perceived as fair and realistic. However, a lack of understanding the short-term objectives of the MM DLTC exists.
- DLTC staff is occasionally unwilling to implement standard procedures, and deliberate attempts to obstruct or prevent accountability occurs occasionally at the Centre.

Aspects which require further clarification is expounded upon below.

#### 6.4.4 Improving implementation of standard operating procedures

**Section E** (*Improving the implementation of procedures and internal control mechanisms*) of the questionnaire dealt with the respondents' opinions of the complexity of improving the implementation of standard operating procedures as internal control mechanism at the MM DLTC. The reason for including this section in the questionnaire was to fully realise the overall aim of this study to provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences. Aspects such as resources and time had to be considered for optimum results. The research question: 'How can the implementation of standard operating procedures be enhanced at the MM DLTC?' was addressed. The questionnaire presented five (5) statements in response to which the respondents had to select a number between 1 and 5: 1 = *Not complex at all*, 2 = *Of limited complexity*, 3 = *Moderately complex*, 4 = *Very complex* and 5 = *Extremely complex*.

The respondents were instructed to consider the complexity of the resources and time required to implement each of the following statements:

- **E1:** Identifying and analysing organisational objectives.
- **E2:** Comparing actual performances with set objectives in legislation and policies.
- **E3:** Evaluating internal control in the areas of financial, leadership and performance management.
- **E4:** Providing timeous feedback on newly accepted procedures.
- **E5:** Identifying and addressing shortcomings in the current internal control system.

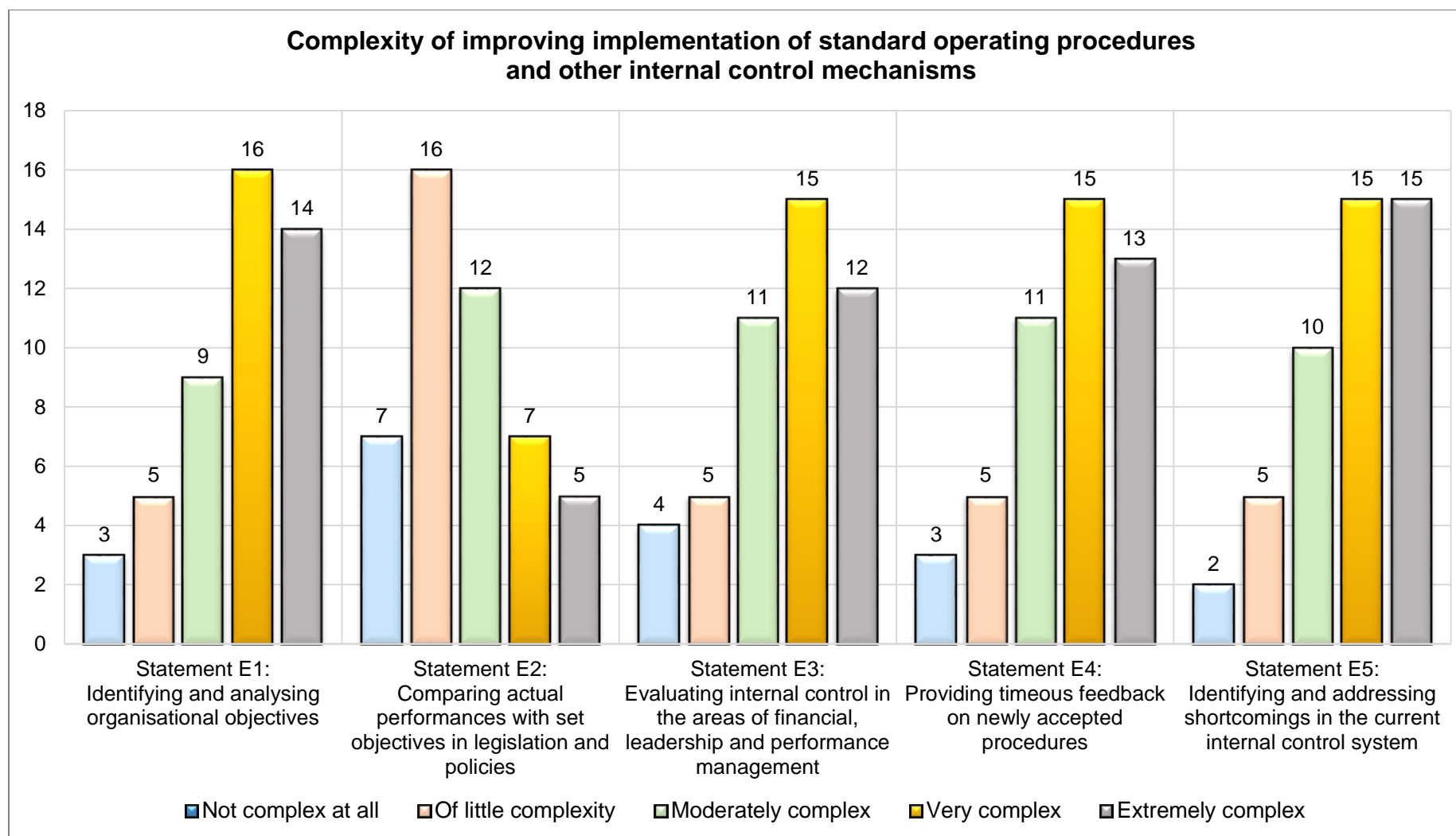
The ANOVA model was utilised on SPSS to provide an overview of the responses to these statements. The results from the test provided significant differences between the mean scores of Section E for the different occupational categories in the MM DLTC, is revealed in Table 6.15 below.

**Table 6.15: Section E: Means and standard deviations**

SPSS DESCRIPTIVES_ IMPROVING THE IMPLEMENTATION OF PROCEDURES AND INTERNAL CONTROL MECHANISMS								
	N	Mean	Std. deviation	Std. error	95% Confidence interval for mean		Mini- mum	Maxi- mum
					Lower bound	Upper bound		
Management representatives	1	3.80	.	.	.	.	4	4
DLTC supervisors	5	2.92	.522	.233	2.27	3.57	2	4
DLTC front-line employees	13	3.28	.641	.178	2.89	3.66	2	4
eNaTIS cashiers	11	3.64	.578	.174	3.25	4.02	2	4
Examiners for driving licences	17	3.67	.587	.142	3.37	3.97	3	5
<b>Total</b>	<b>47</b>	<b>3.48</b>	<b>.625</b>	<b>.091</b>	<b>3.29</b>	<b>3.66</b>	<b>2</b>	<b>5</b>

The means and standard deviations of: 'Improving the implementation of procedures and internal control mechanisms' score position at the MM DLTC is illustrated in Table 6.15. In the 'Mean' column, there are no major differences between the respondent's opinions from the occupational categories, namely: the 'Management representatives' (3,80), 'DLTC front-line employees' (3,28), 'eNaTIS cashiers' (3,64) and the 'Examiners for driver licences' (3,67). However, the responses from the occupational category 'DLTC supervisors' (2,92) revealed a significant discrepancy. The DLTC supervisors do not view the implementation of standardised procedures as complex as management does. The reason for this discrepancy is discussed in Chapter 5, section 5.7.4.7 (*Training of staff*) that the management representative must stay abreast of new developments that might influence the implementation of public policy. He/she must be familiar with new legislation and the requirements for the implementation thereof before providing training and guidelines to the supervisors and other subordinates of how to implement these changes. Hence, by the time the supervisors implement the standard procedures, the management representative is familiar with the contents and suggestions for effective implementation (Government Notice 27589 2005:6 & 7).

The individual five statements included in section E of the questionnaire is analysed. The findings relating to the statements are summarised in Figure 6.8. Table 6.16 complements the summary of the responses in Figure 6.8 that is, percentages are provided for each statement. Detailed analysis and findings of each one of the statements follows after Table 6.16.



**Figure 6.8: Section E – Improving the implementation of procedures and internal control mechanisms – Total responses**

**Table 6.16: Section E – Improving the implementation of procedures and internal control mechanisms – Total responses and percentages**

SPSS CUSTOM TABLE_ TOTAL RESPONSES AND PERCENTAGES: SECTION E							
NO.	STATEMENT	NOT COMPLEX AT ALL	OF LITTLE COMPLEXITY	MODERATELY COMPLEX	VERY COMPLEX	EXTREMELY COMPLEX	TOTALS
<b>E1</b>	Identifying and analysing organisational objectives.	3 (6%)	5 (11%)	9 (19%)	<b>16 (34%)</b>	14 (30%)	<b>47 (100%)</b>
<b>E2</b>	Comparing actual performances with set objectives in legislation and policies.	7 (14%)	<b>16 (34%)</b>	12 (26%)	7 (15%)	5 (11%)	<b>47 (100%)</b>
<b>E3</b>	Evaluating internal control in the areas of financial, leadership and performance management.	4 (8%)	5 (11%)	11 (23%)	<b>15 (32%)</b>	12 (26%)	<b>47 (100%)</b>
<b>E4</b>	Providing timeous feedback on newly accepted procedures.	3 (6%)	5 (11%)	11 (23%)	<b>15 (32%)</b>	13 (28%)	<b>47 (100%)</b>
<b>E5</b>	Identifying and addressing shortcomings in the current internal control system.	2 (4%)	5 (11%)	10 (21%)	<b>15 (32%)</b>	<b>15 (32%)</b>	<b>47 (100%)</b>

The total number of responses as well as the related percentages per statement E1 to E5 is listed above in Table 6.16. An analysis of the data as well as the findings related to each of the five statements follows below.

#### **6.4.4.1 Identifying and analysing institutional objectives**

As stated in Chapter 3, section 3.2.1 (*Internal control defined*) and section 3.2.3 (*Internal control as process*), internal control is a process that seeks to ensure compliance with applicable laws and regulations, promote reliable financial and managerial reporting and co-ordinate the institution's operations. Following the identification of deviations from policies and procedures, remedial measures in the form of standard operating procedures is often issued to ensure that anticipated results and objectives are achieved. Written standard operating procedures, therefore, ensure that public officials are guided of how to implement and pursue institutional objectives. It ensures consistency, effectiveness and efficiency in the accomplishment of tasks (Nzewi 2013:15 & 16; Diamond 2016:374 & 379). In contrast to simplified standardised procedures, overly complicated objectives impedes the realisation of institutional goals due to an increased demand for resources, time and equipment. Therefore, statement E1 (*Identifying and analysing organisational objectives*) complemented statement D2 (*Clear understanding of the objectives that should be met, exists*) establishing complexity, identification and analyses of the objectives of the MM DLTC.

In this instance, more than half of the respondents concurred with the view that the identification and analyses of the organisational objectives is a highly complex tasks, i.e. thirty-four percent ( $n=16$ ) selected 'Very complex', while thirty percent ( $n=14$ ) preferred 'Extremely complex'. Only six percent ( $n=3$ ) of the respondents held that the identification and analyses of the organisational objectives is not complex at all, while eleven percent ( $n=5$ ) felt that it is a task of limited complexity. Nineteen percent ( $n=9$ ) of the respondents opted to remain neutral and selected moderately complex. Based on these responses, it was revealed that overly complicated short-term objectives are set by the management of the Madibeng Municipality.

#### **6.4.4.2 Comparing actual performances with legislated objectives**

As stated in Chapter 1, section 1.6.4.3 (*Implementing control mechanisms*), control is about setting targets, evaluating performance and ensuring employees implement policy by working effectively, efficiently and economically towards achieving set objectives. It implies that deviations need to be identified by comparing results or actual performances with predetermined standards or objectives (Motubatse, *et al.* 2015:402). Statement E2 (*Comparing actual performances with set objectives in legislation and policies*) sought to determine the respondents' opinions of the



complexity of comparing MM DLTC actual performances with legislated objectives. The majority of the respondents (thirty-four percent or  $n=16$ ) held that the task of comparing actual conditions with the expected is of limited complexity, while fourteen percent ( $n=7$ ) agreed that this task is not complex at all. Only limited resources and time is required. Twenty six percent ( $n=12$ ) of the respondents chose to remain neutral while fifteen percent ( $n=7$ ) held that it is a very complex task that requires much resources and time to compare the actual routine at the Centre with legislated specifications. Only eleven percent ( $n=5$ ) of the respondents selected extremely complex.

As stated in Chapter 5, section 5.7.4.4 (*Physical and mechanical control*), each DLTC is required to have a contemporary NRTA of 1996 available and accessible by all relevant staff. This is necessary because DLTC staff it is required to consult the NRTA and the NRTRs as amended, to address clients' queries. Furthermore, DLTC staff members are required to undergo training in the latest legislative amendments as indicated in section 5.7.4.7 (*Training of staff*) of Chapter 5 (Government Notice 27589 2005:5,6 & 7). From these required practises at DLTCs, it may be deduced that the Centre employees are relatively familiar with the legislated stipulations applicable to their job descriptions. It can be accepted that the majority of the staff at the MM DLTC have the necessary know-how to determine legislated objectives. The NRTA of 1996 and the NRTRs as amended, is utilised as the normative or guiding documents against which all operational activities and transactions at DLTCs is measured. The majority of the respondents (forty-eight percent in total) held that the task of comparing actual conditions with the expected is of limited complexity or not complex at all. For this reason, it is not surprising that the majority of the respondents (forty-eight percent in total) held that it is not complex at all, or of limited complexity to compare actual performances with set objectives in legislation and policies. This finding confirmed the information received from the Inspectorate of Driving Licences that the NRTA of 1996 forms the basis for the development of standard operating procedures to issue driver licences (Mbele 2017).

#### **6.4.4.3 Evaluating financial control, leadership and performance management**

Statement E3 (*Evaluating internal control in the areas of financial, leadership and performance management*) sought to understand the complexity level of evaluating financial control, leadership and performance management at the MM DLTC. A mere eight percent ( $n=4$ ) of the respondents selected not complex at all, while eleven percent ( $n=5$ ) selected little complexity, and twenty-three percent ( $n=11$ ) moderately complex. Moreover, thirty-two percent ( $n=15$ ) of the respondents held that it is very complex to evaluate financial control, leadership and performance management at the

Centre because a much resources and time is required to monitor effectively. Twenty-six percent ( $n=12$ ) of the respondents held that it is extremely complex to evaluate internal control, specifically in financial, leadership and performance management.

Based on the majority of the respondents (fifty-eight percent in total) held that it is very or extremely complex to evaluate financial control, leadership and performance management at the Centre. It can be deduced that the staff at the MM DLTC is not adequately skilled to monitor these areas. As stated in Chapter 3, section 3.9 (*Evaluating an internal control system*), management has to accept responsibility to monitor control-related policies and procedures so that the institution's internal control system continues to function as intended. Therefore, despite the fact that the respondents are not ready to evaluate internal control in the areas of financial, leadership and performance management, it is not perceived as an obstacle towards the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC. The evaluation of financial control, leadership and performance management is a specialised matter that should preferably be executed by a specialised management consultant or external sources such as the Auditor-General (Visser & Erasmus 2015:280).

#### **6.4.4.4 Providing timeous feedback on procedures**

As stated in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*), methods and procedures do not exist as stand-alone processes, but rely heavily on the interdependent involvement of other processes, functions as well as frequent feedback from within and outside the organisation. An approach to improve the implementation of procedures, feedback from all internal and external role-players is considered when developing standard operating procedures (Evans 2011:71-80). Moreover, in the guidelines for the development of standard operating procedures provided in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*), it was confirmed that feedback from the internal role-players should be sought on both draft and accepted procedures to ensure continuous improvement thereof (Ashbrook 2014:29). Statement E4 (*Providing timeous feedback on newly accepted procedures*) sought to establish how difficult it is for the respondents to provide or acquire feedback on newly accepted procedures to issue driver licences. Only six percent ( $n=3$ ) of the respondents held that it is not complex at all while eleven percent ( $n=5$ ) selected 'Of little complexity'. Twenty-three percent ( $n=11$ ) held that the feedback process is moderately complex. This implies that the majority of the respondents held that it is very or extremely complex to provide or acquire feedback on the procedures implemented at the Centre. A total of thirty-two percent ( $n=15$ ) of the respondents held that providing timeous feedback on newly

accepted procedures is strenuous and very complex because a high number of resources and time is required for this process. Twenty-eight percent ( $n=13$ ) of the responses revealed the process as extremely complex.

Which occupational category predominantly influenced the results of the responses? A further breakdown of the responses to statement E4 (*Providing timeous feedback on newly accepted procedures*) per occupational category is provided in Table 6.17 below.

**Table 6.17: Quantitative data – Cross-tabulation between statement E4 and occupation**

SPSS OUTPUT_CROSS-TABULATION: STATEMENT E4 AND OCCUPATIONAL CATEGORY										
	Occupational category									
	Management representatives		DLTC supervisors		DLTC front-line employees		eNaTIS cashiers		Examiners for driving licences	
	Count	Row N %	Count	Row N %	Count	Row N %	Count	Row N %	Count	Row N %
Not complex at all	0	0.0%	0	0.0%	1	33.3%	2	66.7%	0	0.0%
Of little complexity	0	0.0%	0	0.0%	3	60.0%	0	0.0%	2	40.0%
Moderately complex	0	0.0%	3	27.3%	3	27.3%	1	9.1%	4	36.4%
Very complex	0	0.0%	0	0.0%	2	13.3%	4	26.7%	9	60.0%
Extremely complex	1	7.7%	2	15.4%	4	30.8%	4	30.8%	2	15.4%

Table 6.17 illustrates that sixty percent ( $n=9$ ) of the examiners for driver licences held that the internal feedback process at the MM DLTC is very complex. As stated in Chapter 5, section 5.7.3 (*Methods and procedures for driver fitness*) examiner's for driver licences conduct theoretical and practical learner and driver licence tests. The examiners for driver licences are therefore not office bound and perform most of the official duties away from the office. Could this be an impediment towards providing input and comments on methods and procedures?

This matter needed further clarification, and the interview questions: "*How would you improve the feedback process of the current standard operating procedures at the Centre, specifically feedback from examiners for driver licences?*" and "*How would you improve the implementation of standard operating procedures and other internal control mechanisms at the DLTC?*" was posed during the follow-up interviews. Refer

to section 6.5.5 below (Improving implementation of procedures and internal control mechanisms) for the discussion and analysis of the follow-up interview questions.

#### **6.4.4.5 Identifying and addressing shortcomings in internal control system**

An internal control system is more than just a sum of different control mechanisms as it builds on the synergy between the control mechanisms. To determine whether the ranges of internal control mechanisms still operate as intended, continuous monitoring must be undertaken (Mofolo 2015:891 & 892). As indicated in Chapter 3, section 3.6.1 (*Components of an internal control system*) internal control weaknesses should be identified and communicated to management in an appropriate manner (Arwinge 2013:50). Statement E5 (*Identifying and addressing shortcomings in the current internal control system*) therefore sought to establish the opinions held by the respondents of the complexity to identify and address weaknesses or shortcomings in the existing internal control system at the MM DLTC.

Only four percent ( $n=2$ ) of the respondents held that it is not complex at all while eleven percent ( $n=5$ ) of the respondents revealed that certain resources and time is required. Furthermore, it is of limited complexity to address shortcomings in the internal control system. Twenty-one percent ( $n=10$ ) remained neutral and held that the process of identifying and addressing shortcomings in the internal control system is moderately complex and can be remediated by applying moderate resources and time. An overwhelming thirty-two percent ( $n=15$ ) selected very complex while thirty-two percent ( $n=15$ ) held that the process is highly complex. The identification and shortcomings in the internal control system demands a large number of resources and time.

As state in Chapter 3, section 3.6.2 (*Features influencing an internal control system*), an overly detailed internal control system poses serious challenges towards reaching an organisation's goals. Moreover, the implementation of too many and excessively complex internal control mechanisms may easily result in an ineffective individual control mechanism. Should this happen, the information needed for successful implementation of distinct steps in the control process may not be understood by the employees.

In summary, the responses to section E of the questionnaire revealed that the following aspects should be addressed to answer the research question: 'How can the implementation of standard operating procedures be enhanced at the MM DLTC?'

- The respondents held that overly complicated objectives are set by the management of the Madibeng Municipality.

- DLTC employees are well-equipped to compare the actual conditions at the Centre with expected conditions in legislation.
- The staff at the MM DLTC is not adequately skilled to monitor specialised areas, such as financial control, leadership and performance management at the Centre.
- Providing timeous feedback on newly accepted procedures is a complex process at the Centre.
- Identifying and addressing shortcomings in the current internal control system is highly complex and demands a large number of resources and time.

The responses to section E of the questionnaire was utilised to evaluate the implementation of standard operating procedures as internal control mechanisms at the MM DLTC, and produce a basic framework for the development of standard operating procedures. Section F (*Writing standard operating procedures*) is discussed below.

#### **6.4.5 Writing standard operating procedures**

The foundation of the development and implementation of methods and procedures in the South African public sector is to meet the needs of society within the borders of the state by the provision of public services at all spheres of government (Wessels 2017:29). Unfortunately, as stated in Chapter 2, section 2.5.2 (*Bureaucracy, red tape and standard operating procedures*), standard operating procedures are often associated with bureaucracy, red tape and the excessive use of rules and regulations (Kaufmann & Tummers 2017:1311-1314). To combat red tape, public departments are trying to re-draft policies and procedures by taking the public's point of view in consideration (Johnston 1993:34). For this reason, procedure-writing in the public sector should break out of the dominant mode of working in silos. To prevent standard operating procedures being meaningless and trapped in a rhetorical limbo, the notion that policy-making takes place at a high level away from the complex realities of day-to-day implementation, should be deliberately fought against. Consequently, **Section F** (*Writing standard operating procedures*) of the questionnaire dealt with the respondents' opinion of the significance of writing standard operating procedures for the MM DLTC. The aim of including this section in the questionnaire was to acquire insight of the processes related to the development of standard operating procedures for the MM DLTC. The questionnaire presented five (5) statements in response to which the respondents had to select a number between 1 and 5: 1 = *Not important at*

all, 2 = Of little importance, 3 = Somewhat important, 4 = Very important and 5 = Extremely important.

Based on the data analysis and findings of the following statements, the most applicable approach to develop standard operating procedures for DLTCs can be determined.

- **F1:** Finding new and innovative methods and procedures to perform tasks.
- **F2:** Having knowledge of the existing workflow and organisational structure.
- **F3:** Identifying necessary equipment and resources to complete a task.
- **F4:** Seeking teamwork during the development of standard operating procedures.
- **F5:** Following approval processes when developing standard operating procedures.

The following summary of the general responses to these statements was acquired by using the ANOVA model. The result of the test for significant differences between the mean scores of section F for the different occupational categories in the MM DLTC, is indicated in Table 6.18 below.

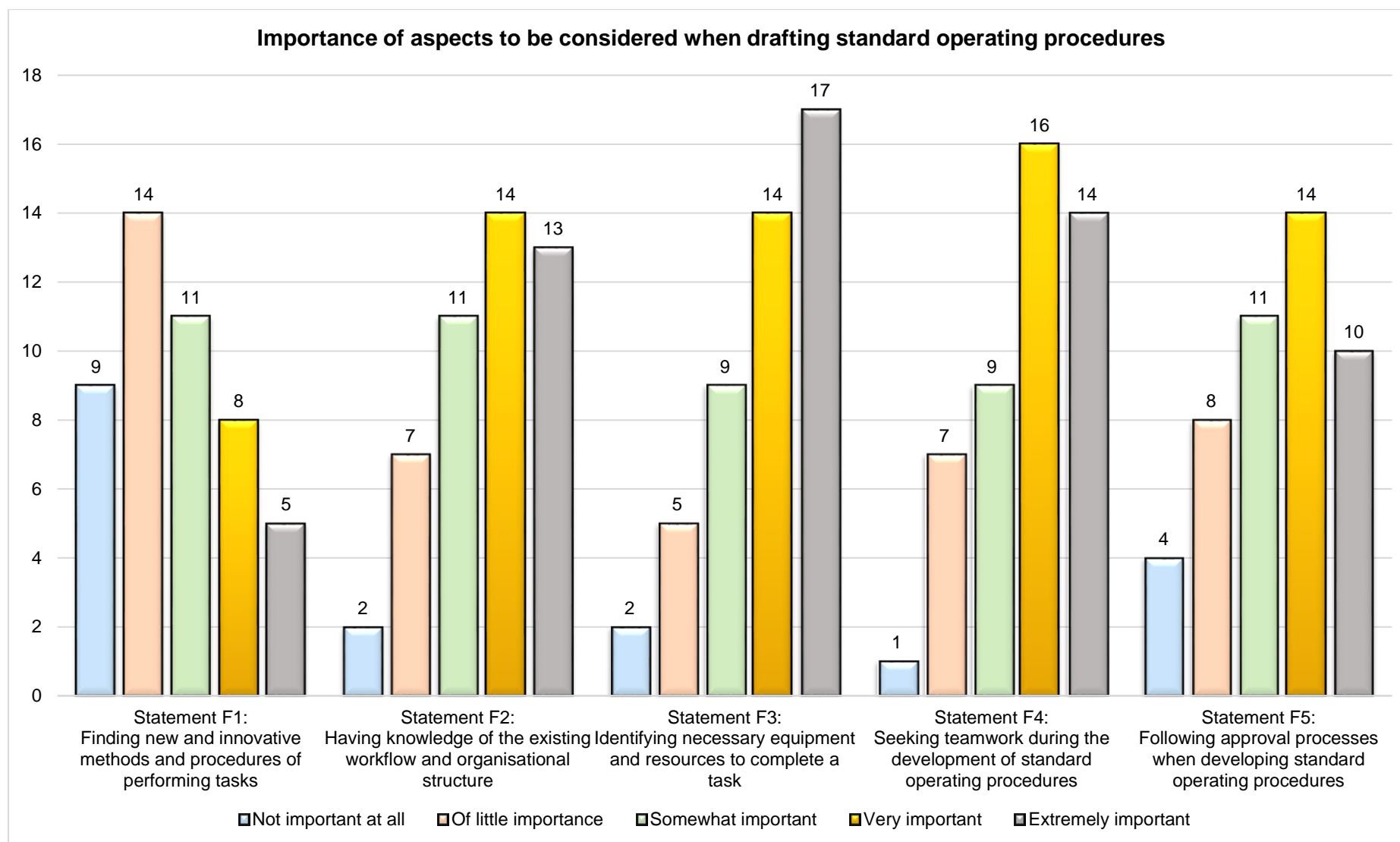
**Table 6.18: Section F: Means and standard deviations**

SPSS DESCRIPTIVES_ WRITING STANDARD OPERATING PROCEDURES								
	N	Mean	Std. deviation	Std. error	95% Confidence interval for mean		Minimum	Maximum
					Lower bound	Upper bound		
Management representatives	1	4.20	.	.	.	.	4	4
DLTC supervisors	5	3.20	.600	.268	2.46	3.94	3	4
DLTC front-line employees	13	3.74	.403	.112	3.49	3.98	3	4
eNaTIS cashiers	11	3.51	.243	.073	3.35	3.67	3	4
Examiners for driving licences	17	3.24	.420	.102	3.02	3.45	2	4
<b>Total</b>	<b>47</b>	<b>3.46</b>	<b>.456</b>	<b>.067</b>	<b>3.32</b>	<b>3.59</b>	<b>2</b>	<b>4</b>

The means and standard deviations from the 'Writing standard operating procedures' score position at the MM DLTC is illustrated Table 6.18. No major differences exist between the opinions of the occupational categories 'DLTC front-line employees'

(3,74), 'eNaTIS cashiers' (3,51) and the 'Examiners for driver licences' (3,24). However, a significant difference is evident between the responses from the 'Management representatives' (4,20) and the DLTC supervisors (3,20). The difference in the mean score reveals that the category 'Management representatives' values the importance of writing standard operating procedures much higher than the DLTC supervisors. Therefore, management at the Centre perceives the use of standard operating procedures in a positive light. Management duties at the DLTC are comprehensive and integrate the various operations at the DLTC on a continuous basis. The management representative is thus in the perfect position to support the supervisors and the other staff to update and write standardised procedures to issue driver licences, as described in Chapter 5, section 5.7.4.9 (*Management*). When re-visiting the summary of the responses, it became clear that the research question: 'How to write standard operating procedures to issue driver licences for the MM DLTC?' was responded with the analyses and interpretation of the responses to these statements. The theoretical background was acquired from the guidelines described in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*).

The findings relating to the statements included in section F is summarised below in Figure 6.9 and Table 6.19.



**Figure 6.9: Section F – Writing standard operating procedures – Total responses**



**Table 6.19: Section F – Writing standard operating procedures – Total responses and percentages**

SPSS CUSTOM TABLE_ TOTAL RESPONSES AND PERCENTAGES: SECTION F							
NO.	STATEMENT	NOT IMPORTANT AT ALL	OF LITTLE IMPORTANCE	SOMEWHAT IMPORTANT	VERY IMPORTANT	EXTREMELY IMPORTANT	TOTALS
<b>F1</b>	Finding new and innovative methods and procedures of performing tasks.	9 (19%)	<b>14 (30%)</b>	11 (23%)	8 (17%)	5 (11%)	<b>47 (100%)</b>
<b>F2</b>	Having knowledge of the existing workflow and organisational structure.	2 (4%)	7 (15%)	11 (23%)	<b>14 (30%)</b>	13 (28%)	<b>47 (100%)</b>
<b>F3</b>	Identifying necessary equipment and resources to complete a task.	2 (4%)	5 (11%)	9 (19%)	14 (30%)	<b>17 (36%)</b>	<b>47 (100%)</b>
<b>F4</b>	Seeking teamwork during the development of standard operating procedures.	1 (2%)	7 (15%)	9 (19%)	<b>16 (34%)</b>	14 (30%)	<b>47 (100%)</b>
<b>F5</b>	Following approval processes when developing standard operating procedures.	4 (9%)	8 (17%)	11 (23%)	<b>14 (30%)</b>	10 (21%)	<b>47 (100%)</b>

An analysis of the data as well as the findings related to each of the five statements follows below.

#### **6.4.5.1 *Finding new and innovative methods and procedures***

The methods and procedures of performing a task can be thought of as a process in which the purpose, assigned responsibilities, related documents, legislation as well as the required facilities and equipment is aligned to guide the performance of that task, step-by-step. Caution should be taken against rigid steps and instructions. Therefore, innovative methods and procedures should manage public-institutional concerns such as the service delivery strategy of the institution/department and the need for public participation (Peach 2004:2). Furthermore, procedures must take into account aspects such as managing risks and streamlining supervision and management within the communication channels of the institution. In short, developing and implementing new and innovative methods and procedures, requires a mindset that embrace all the functions and processes of the institution's internal and external environment (Cloete & De Coning 2011:126).

Consequently, statement F1 (*Finding new and innovative methods and procedures of performing tasks*) endeavoured to establish whether the MM DLTC methods and procedures is sufficiently advanced and progressive to prevent unproductivity. Nineteen percent ( $n=9$ ) of the respondents were convinced that it is not important at all to find new and innovative methods when drafting standard operating procedures, while thirty percent ( $n=14$ ) reflected that it is of limited importance. The results further revealed that twenty-three percent ( $n=11$ ) of the respondents held that the use of new and innovative methods and procedures is somewhat important. A total of seventeen percent ( $n=8$ ) of the respondents selected very important, while eleven percent ( $n=5$ ) reported that identifying and applying new and innovative methods and procedures to perform tasks is extremely important. This matter was addressed further during the follow-up interviews.

#### **6.4.5.2 *Having knowledge of workflow and organisational structure***

It became clear in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*), that the developers of methods and procedures in the South African public sector must have a holistic overview of the relevant department by looking beyond its institutional boundaries towards government's long term strategic objectives. They need to measure the organisational structures and the estimated cost and capacity implications against the government's national development plans (Government of United Kingdom 2001:Online). Statement F2

*(Having knowledge of the existing workflow and organisational structure)* sought to establish the significance of having knowledge of the workflow and organisational structure of the DLTC when developing standard procedures.

A total of four percent ( $n=2$ ) of the respondents revealed that knowledge of the workflow and organisational structure at the MM DLTC is unimportant when drafting procedures to issue driver licences, while a further fifteen percent ( $n=7$ ) held that it is of limited significance. Twenty-three percent ( $n=11$ ) were undecided and selected somewhat important. A total of thirty percent ( $n=14$ ) of the respondents were convinced that prior knowledge of the workflow and organisational structure is very important, while twenty-eight percent ( $n=13$ ) held that it is extremely important to know the workflow and organisational structure of an institution when developing standard operating procedures. Hence, the majority of the responses revealed that although the existing procedures are not innovative, the workflow and structure of the DLTC is successfully incorporated.

#### **6.4.5.3 Identifying required equipment and resources**

As stated in Chapter 2, section 2.6.1 (*ADDIE instructional design model*), methods and procedures are usually developed to address specified problem areas and/or routine tasks. As operational policy, the value of standard operating procedures is thus determined by its success in dealing with a functional problem to reach operable outcomes. Furthermore, the effective implementation of standard operating procedures is closely linked to available equipment, resources and other related systems. It is, therefore, important to consider how standard procedures will work in practice. Some of the key questions that should be posed during procedure design include: 'What systems are necessary to implement the standard operating procedures?' and 'What resources are required?' By estimating the cost of the required resources, equipment and systems, it is possible to determine whether the procedures can be implemented sustainably (Scott 2010:112; Government of United Kingdom 2001:Online).

It is, therefore, accepted that by identifying and listing the required equipment and resources in standardised procedures, functional problems during the implementation thereof will be prevented. However, too often policy is changed during the implementation thereof due to inadequate equipment and administrative resources (Nzewi 2013:15 & 16). Employees who implement policy at the front-line are well aware of the capacity of the equipment and resources necessary to reach policy outcomes and to deliver services and goods in a consistent and effective way.

Consequently, statement F3 (*Identifying necessary equipment and resources to complete a task*) endeavoured to establish to which extent equipment and resources are identified and included in the standard operating procedures of the MM DLTC.

With regard to the data, four percent ( $n=2$ ) of the respondents selected not important at all while eleven percent ( $n=5$ ) indicated that the identification of applicable equipment and resources is of limited significance when writing procedures. A total of nineteen percent ( $n=9$ ) of the respondents held that it is somewhat important to list the equipment and resources needed to perform a task. The majority of the respondents at the MM DLTC held that it is very important [thirty percent ( $n=14$ )] and extremely important [thirty-six percent ( $n=17$ )] to identify the necessary equipment and resources to perform specific steps when writing standard operating procedures. A total of sixty-six percent of the respondents selected either very important or extremely important. It can be deduced that required equipment and resources is indeed identified in the standard operating procedures.

The reason for the majority responses could be the critical role that the eNaTIS system and hardware plays in the DLTC environment. With regard to policy-making in the DLTC and licensing milieu, the availability of physical facilities and equipment, such as office space, eye test facilities, learner's licence theory tests, image capturing systems, driver licence testing yards and the eNaTIS terminals and printers, need to be considered when formulating policy on operational level. If a DLTC does not have the minimum required equipment and resources mentioned in Chapter 5, section 5.6.1 (*Grading of driving licence testing centres*), additional structures will have to be acquired which could have extra financial implications. It follows that the need for specialist facilities and equipment must be considered very carefully in the procedure-writing process.

#### **6.4.5.4 Seeking collaborative or teamwork**

Since standard operating procedures affect the behaviour and actions of the employees who implement it at operational level directly, procedure writers need to involve key role-players and stakeholders to acquire relevant and current advice. Furthermore, applicable information and documents, including that from specialists, should be available in an accessible and meaningful form. The writing of standard operating procedures is, therefore, a complex and contested process, and is not developed in a vacuum. Furthermore, procedure writing is often done at short notice with limited information. To achieve these requirements and to surpass associated difficulties, modernised procedure writing involves different actors who work as a team

(Government of Canada 1996:6; Bullock, Mountford & Stanley 2001:Online; Banks 2009:5). Statement F4 (*Seeking collaborative or teamwork during the development of standard operating procedures*) sought to establish whether the relevant employees and role-players are involved when developing procedures at the MM DLTC. In brief, the researcher wanted to establish if a team approach is followed when writing procedures at the Centre. A total of two percent ( $n=1$ ) of the respondents indicated that it is not important at all to seek collaborative or teamwork during the development of standard operating procedures, while fifteen percent ( $n=7$ ) held that it is of limited significance. Nineteen percent ( $n=9$ ) remained neutral and suggested that it is somewhat important to work collaboratively when developing procedures. A significant thirty-four percent ( $n=16$ ) of the respondents were convinced that working together as a team at the MM DLTC would promote the development of standard operating procedures. The remaining thirty percent ( $n=14$ ) of the respondents selected extremely important. Based on the majority of the responses, it is concluded that the employees at the Centre work collaboratively or as a team during the development of standard operating procedures. Key role-players are thus consulted to acquire relevant and current advice.

#### **6.4.5.5 Following appropriate approval processes**

Should procedures be reviewed or new ones developed requires a thorough approval process which must be followed when submitting the final draft for acceptance and implementation. Statement F5 (*Following approval processes when developing standard operating procedures*) therefore, sought to determine if the prescribed processes at the Madibeng Municipality are followed to acquire approval for the implementation of newly developed standardised procedures to issue driver licences. Ultimately, this statement tests whether proper quality assurance processes are implemented at the MM DLTC, as elaborated on in Chapter 2, section 2.6.1 (*ADDIE instructional design model*) and Chapter 3, section 3.9 (*Evaluating an internal control system*).

With regard to the number of responses received, nine percent ( $n=4$ ) of the respondents indicated that it is not important at all to follow the correct approval processes when developing standard operating procedures, and seventeen percent ( $n=8$ ) of the respondents were convinced that it is of limited significance. Twenty-three percent ( $n=11$ ) held that it is somewhat important to follow appropriate channels for approval, while thirty percent ( $n=14$ ) of the respondents selected very important. Twenty-one percent ( $n=10$ ) of the respondents held that following the correct approval processes at the Municipality when developing standard operating procedures for the

Centre is important. The majority of the respondents held that it is very important to following approval processes when developing standard operating procedures. This majority opinion corresponds with what was stated in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*), namely, that after procedures are reviewed for quality and correctness to establish the degree to which it still meets planned objectives, proper approval processes must be followed for the official acceptance thereof. It is clear from the above analysis that there are institutional dynamics which need to be considered in order to design relevant, flexible and innovative standardised procedures.

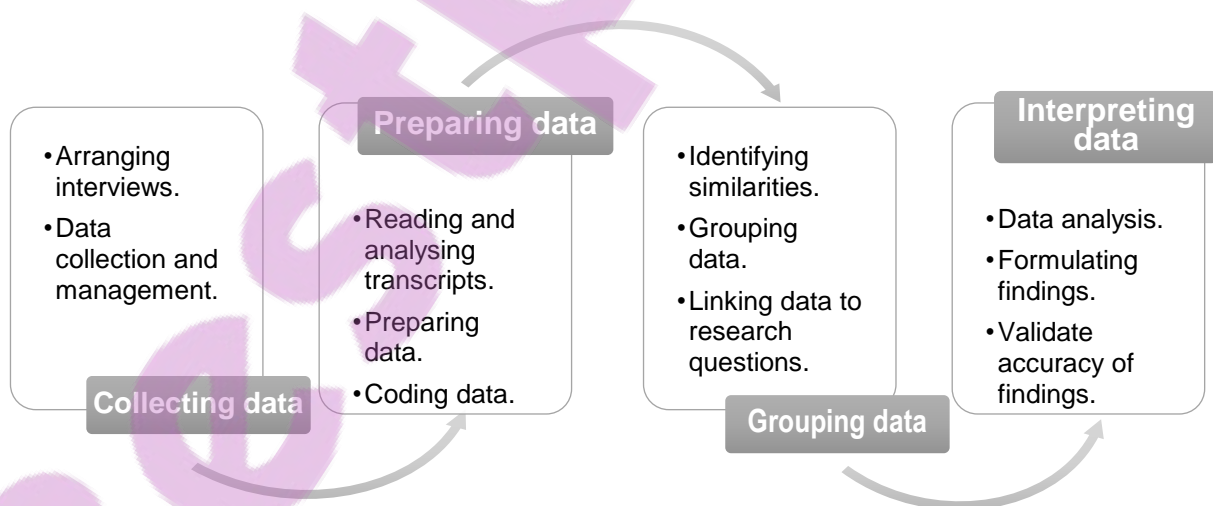
In summary, section F of the questionnaire applied the theory provided in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*) to respond to the research question: 'How to write standard operating procedures to issue driver licences at the MM DLTC?' Important aspects that must be considered when writing procedures was evaluated of the case study. The findings revealed:

- Update outdated procedures regularly: Unfortunately, the majority of the staff at the MM DLTC were convinced that it is not important to find new and innovative methods when updating or developing standard operating procedures.
- Know the working environment: The DLTC staff admitted that knowledge of the workflow and the organisational structure is important when developing standardised procedures.
- Identify the necessary equipment and resources: Required equipment and resources are listed in the available procedures.
- Follow a team approach: The employees at the MM DLTC are willing to work collaboratively when developing standard operating procedures to issue driver licences.
- Comply with prescribed procedures: It is important for the DLTC staff to follow prescribed approved processes.

The qualitative data acquired through the follow-up interviews is presented to complete the data analysis and findings of the development and implementation of methods and procedures to issue driver licences in the Madibeng Municipality.

## 6.5 ANALYSIS, INTERPRETATIONS AND FINDINGS OF QUALITATIVE DATA: FOLLOW-UP INTERVIEWS

In addition to the questionnaire, semi-structured personal interviews were conducted to gather extra data about the extent to which standard operating procedures to issue driver licences is implemented at the MM DLTC. Since the nature and scope of the standardised procedures has been established, recommendations could be provided for the development of standard operating procedures to ensure that driver licences are issued effectively and efficiently. The matters that were identified for further clarification during the interpretation of the quantitative data was targeted during the interviews. The reason for embarking on semi-structured personal interviews was to allow the participants to provide input and any information they think is significant. As opposed to the questionnaire that was distributed to all the staff at the Centre, the interviews were directed at one manager and three supervisors. The qualitative data that was collected through the follow-up interviews was conducted at the Madibeng Municipality offices. The interviews were recorded and detailed field-notes were taken by the researcher. The recordings were transcribed and studied to compare the text data against the field-notes as part of the data validation process. The text was divided into segments of information before these were labelled with codes. Overlap and redundancy of data was subsequently reduced before the codes were converted into themes and clustered according to the research questions (Babbie 2016:486). After formulating the draft findings, it was checked for accuracy by revisiting the original transcripts and comparing it once more with the field-notes. A simplified overview of the process of validating the qualitative data, is illustrated in Figure 6.10 below:



**Figure 6.10: Process of validating qualitative data**

**Source:** Adopted from Yin (2010:177-179).

The above Figure 6.10 illustrated the validation process of the data acquired through the follow-up interviews that were arranged to clarify the issues that were unclear from the responses provided to the self-administered questionnaire. The interview schedules with reference to the research questions, research objectives and the relevant sections in the literature review, are included in Table 4.9 (*Framework for data gathering*) in Chapter 4, section 4.7 (*Data gathering instruments*).

### 6.5.1 Demographic profile of participants interviewed

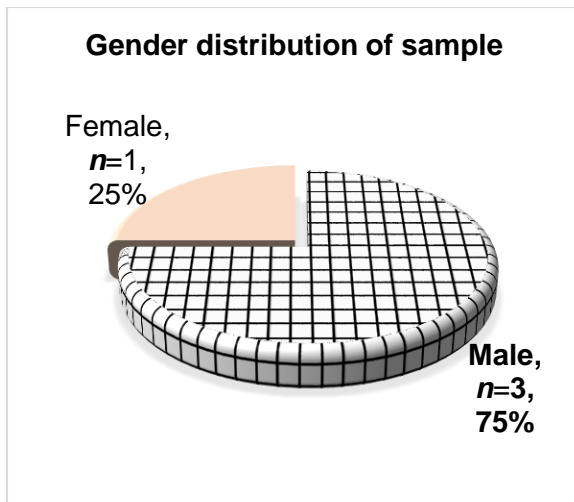
The following demographic details of the interviewees is listed and illustrated below in Table 6.20 and Figures 6.11 to 6.14, namely: 1) Gender distribution, (2) Age group distribution, (3) Employment period distribution and (4) Occupational category distribution.

**Table 6.20: Qualitative data – Demographic profile of participants (interviews)**

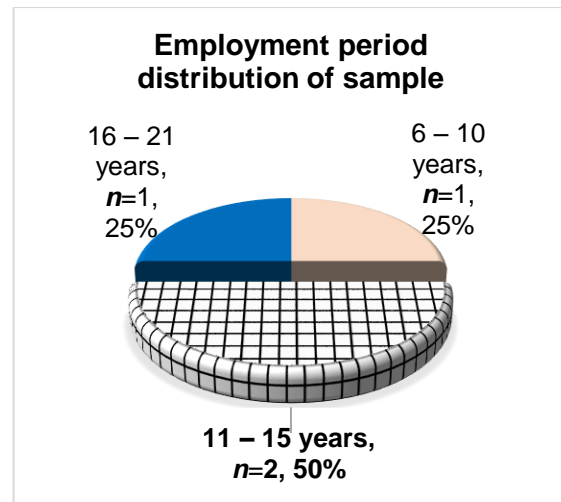
		Age group distribution of sample					Occupational category distribution of sample		Gender distribution of sample	
Employment period distribution of sample		20 to 29	20 to 29	30 to 39	40 to 49	50 to 59	Management	DLTC supervisors	Male	Female
0 – 5 years	0									
6 – 10 years	1		1					1	1	
11 – 15 years	2			1	1		1	1	1	1
16 – 21 years	1				1			1	1	
22 years and more	0									
<b>Totals</b>	<b>4</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>1</b>	<b>3</b>	<b>3</b>	<b>1</b>

The above-listed demographic data was complimented in the following four separate pie charts that reflect the respective percentages in addition to the above numbers.

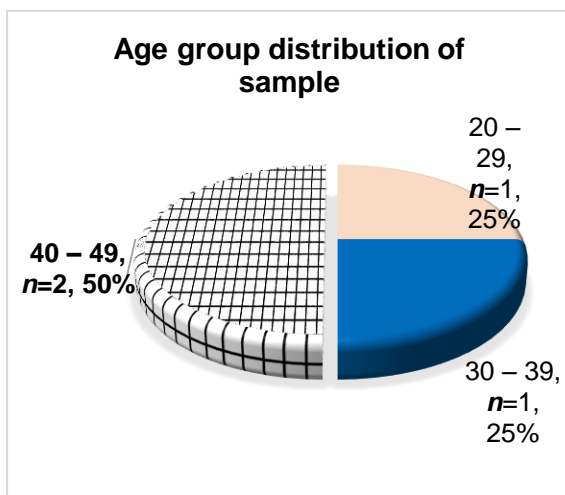




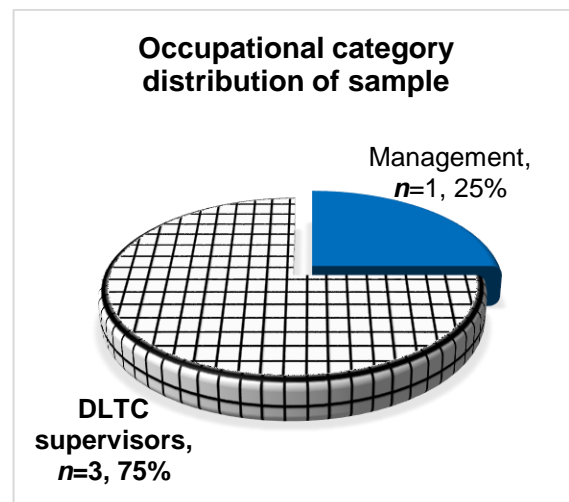
**Figure 6.11: Qualitative data – Gender distribution**



**Figure 6.12: Qualitative data – Employment periods**



**Figure 6.13: Qualitative data – Age groups**



**Figure 6.14: Qualitative data – Occupational categories**

Table 6.20 above provided a cross-tabulation of the gender, age group, employment period and occupational category of the manager and three supervisors who were interviewed. Further breakdown of the data is provided in Figure 6.11 (*Gender distribution*), Figure 6.12 (*Employment periods*), Figure 6.13 (*Age groups*) and Figure 6.14 (*Occupational categories*). It is significant from the above figures that the majority of the participants were male, as illustrated in Figure 6.11, and most of the participants were between the ages of forty to forty-nine as illustrated in Figure 6.13. Furthermore, Figure 6.12 illustrates that the majority of the participants have been employed at the Madibeng Municipality between eleven to fifteen years.

The qualitative findings revealed that the participants had extensive experience in issuing driver licences at the MM DLTC. The data acquired from the interviews with the participating manager and the DLTC supervisors is presented per theme below:

- Significance of standard operating procedures.
- Quality of internal control system components.
- Challenges towards the implementation of standard operating procedures.
- Improving implementation of procedures and internal control mechanisms.
- Writing standard operating procedures.

The above-listed sequence was established by the research questions formulated in Chapter 1, section 1.3 (*Problem statement and research questions*). The questions directed at Manager A and his subsequent responses are presented first, before those from the supervisors which is presented and analysed per theme. Due to the small sample size, simple descriptive analysis was utilised for data analysis and the interpretation of the responses provided (De Vos 1998:48).

### **6.5.2 Significance of standard operating procedures**

As stated in Chapter 1, section 1.2 (*Rationale for conducting the research*), one of the primary causes of the challenges experienced by DLTCs with the issuing of driver licences is that methods and procedures differ from one Centre another. Furthermore, the internal control systems at Centres are not optimised to ensure effective and efficient implementation of standardised procedures. It was further underscored that the need for standard operating procedures arose from typical problems, such as lengthy queues, experienced by DLTCs across the nine provinces. These problems, as well as the lack of standardised procedures to issue driver licences also occurs at the MM DLTC. Consequently, the utilisation and significance of determining and reviewing standard operating procedures had to be further explored during the personal interviews.

#### **Management**

To establish the extent to which standard operating procedures are actually utilised at the MM DLTC, Manager A was asked:

***“Please elaborate on the significance and advantages of utilising standard operating procedures at the DLTC.”***

He indirectly confirmed that standard operating procedures has the same authority of delegated legislation, as stated in Chapter 2, section 2.2.3 (*Legal perspective*).  
Manager A:

*“We use procedures to implement the National Road Traffic Act and to make sure that we do what we are supposed to do. Especially, the examiners and the cashiers need rules to correctly perform their duties. ... Unfortunately, our procedures do not cover all our tasks and responsibilities. ... Actually, some procedures do not exist and others are completely outdated. Managing the Centre without the full range of procedures makes it difficult to monitor the accurate implementation of the requirements of the Act.”*

It was clear that Manager A was knowledgeable about the utilisation of methods and procedures at the DLTC. The excerpt: “*We use procedures to implement the National Road Traffic Act and to make sure that we do what we are supposed to do*” indicated that standard operating procedures should be utilised as law in action, because standardised procedures are utilised primarily to ensure compliance with legislation at the DLTC. The response also indirectly supported the underlying premise adopted for this study, namely: that the effective implementation of updated standard operating procedures to issue driver licences according to the licensing and road traffic legislation. Manager A admitted that there is a lack of (updated) standardised procedures at the Centre. This confirmed the notion to identify the lack of procedures in Chapter 5, section 5.7.3 (*Methods and procedures for driver fitness*), as correct.

Considering the responses to statement B4 (Standard operating procedures ensure that everyone work together as a team to achieve objectives) and statement B5 (Standard operating procedures ensure reliability in the behaviour of individual officials), of the questionnaire, it was noted that the respondents reacted positively towards the relationship between standard operating procedures and teamwork, while a significant number remained neutral about the link between standard operating procedures and the effect thereof on the behaviour of individual officials. Thus, the following question was posed to acquire further insight into the relationship between standard operating procedures and teamwork at the MM DLTC:

***“Why is teamwork promoted through the implementation of standard operating procedures, while standard operating procedures does not significantly affect the behaviour of individual staff members?”***

Manager A commented:

*“The cashiers work as a team when following the prescribed procedures...also the examiners. Errors are less when the procedures are followed. More errors occur when individual staff members do their own thing.”*

Manager A suggested that the staff acts with certainty and commitment when their decisions are based on the requirements included in the procedures. He confirmed that groups of employees, such as the cashiers and the examiners for driver licences occupational categories, work together as teams to accomplish their daily routines and duties. He also stressed that errors are infrequent of updated procedures than if no procedures are available. The response to the second part of the question, “... *whereas standard operating procedures do not significantly affect the behaviour of individual staff members at the MM DLTC?*” manager A cautioned against working in isolation because it may result in undetected deviation from standardised procedures by individual employees. He said that deviations from policy and procedures should not be allowed. Based on Manager A’s response, it is deduced that the implementation of standard operating procedures encourages conformist behaviour at the Centre, as advocated by Nzewi (2013:15) and as described in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*).

## **Supervisors**

To further explore the utilisation and significance of standard operating procedures at the MM DLTC, statement B3 (*Standard operating procedures improve the workflow and increase productivity*) of the questionnaire endeavoured to establish whether the respondents held that the utilisation of standardised procedures improves workflow and productivity. The majority of the respondents replied positively to the statement. It was also revealed that standardised procedures ensures better workflow and productivity. However, the exact way in which procedures are optimised at the MM DLTC still needed to be established. The three supervisors were asked individually to explain how they would go about using standard operating procedures to improve the workflow at the DLTC. All three supervisors were convinced that the standardised procedures encourages consistency in the actions and behaviour of their subordinates and their colleagues. This is also reflected by the responses to statement B1 (*Standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task(s)*) of the questionnaire. One of the supervisors preferred to elaborate on how the existing procedures guides the communication flow at the Centre, while the other two supervisors focused on advantages such as consistency, improved planning and compliance with legislation. All three supervisors spoke about the benefits of implementing procedures when they responded to the following question:

***“Are you convinced that standard operating procedures can be utilised to increase productivity and if so, please explain how you would go about using the procedures to improve the workflow at the DLTC?”***

Supervisor A commented:

*“Yes, because it ensures consistency in how the cashiers and examiners perform their duties.”*

Supervisor A agreed that standard operating procedures become visible when routine actions allow reliability and predictability of the tasks to be performed. In this way, standard operating procedures attach legitimacy to the relevant routines because all actions must be executed within a clear legal mandate (Department of Public Service and Administration 2014:6 & 7).

Supervisor B argued that workflow is improved because standard operating procedures lead to better planning and the utilisation of resources as explained below:

*“Yes, when an applicant applies for a drivers licence test, we are able to plan who will do the eye test and who will conduct the drivers licence test. We then know which examiners are still available for the learner’s licence tests. Procedures will also inform the staff when to ask for medical certificates or other prescribed documents.”*

The excerpt “*we are able to plan*” confirms that standardised procedures promotes better planning, while the excerpt “*Procedures will also inform the staff when to ask for medical certificates...*” points towards the requirement to comply with legislation. Consequently, the predictable nature of routine tasks and the consistency provided by standard procedures leads to effective planning during policy implementation. Better planning would ultimately lead to improved workflow and productivity.

Supervisor C echoed the argument held by Evans and Dean (2003:148) that methods and procedures communicate information to employees so that they understand what, when and how to perform their duties. This aspect is highlighted in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*). Refer to comment below:

*“Yes, when the cashiers phone me for assistance when I am on leave, I always refer them to our procedures. The procedures will then tell them what documents to ask for and what steps to take when I am not at the office.”*

The use of a procedure manual as a communication and training tool, as confirmed in Chapter 2, section 2.4.4 (*Advantages and disadvantages of methods and procedures*),

was reiterated by Supervisor C. It is important that procedure manuals are accessible for input by the relevant authorities and role-players. The needs of the local community may even be sought through the local Integrated Development Plan (Adonis & Van der Walt 2017:42 & 43). In summary, the analysis of the qualitative data that could be gathered in the research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' complimented the literature review of the nature and scope thereof as a generic administrative function. The theory was tested in practice.

### **6.5.3 Quality of internal control system components**

As described in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*) internal control at the MM DLTC comprises of manual and electronic systems as well as the procedures and processes implemented to minimise any risks to which the Centre might be exposed to. Due to the wide range of internal control mechanisms at the MM DLTC, more information was required to respond to the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?'

#### **Management**

To add value to the responses to statement C3 (Control mechanisms, like policies, balancing procedures and supervision that ensure that management's directives are carried out) and statement C5 (Monitoring and evaluation done by management to assess the internal control system), Manager A was requested to respond to the following question:

***"Please elaborate on the implemented internal control mechanisms at the DLTC."***

Manager A confirmed and briefly explained all the internal control mechanisms defined in Chapter 3, Section 3.7 (*Internal control mechanisms*). He verified that the internal control mechanisms identified in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*) – that built on the control mechanisms defined in Chapter 3, Section 3.7 (*Internal control mechanisms*), – are implemented at the MM DLTC. He elaborated further:

***"Management has to implement measures to guard against fraud and theft. The complexity of tasks at the DLTC, the frequency of errors by the cashiers and the potential costs of rectifying the errors, necessitate diverse internal control measures. ... The Centre's internal control measures are used to monitor all the***

*operations to ensure services are delivered, money is collected and our clients are happy.”*

Based on the above response, it was revealed that Manager A viewed the DLTC’s internal control system as fundamental to assure the reliability of information captured on eNaTIS as well as safeguarding of the Centre’s assets as supported by Arwinge (2013:42) as well as Visser and Erasmus (2015:278 & 279). He also confirmed that the implementation of standardised procedures leads to fewer errors in performing routine tasks as stated in Chapter 2, section 2.5.3 (*Benefits of standard operating procedures*). Based on Manager A’s response, it is found that the sound execution of duties results in improved customer service and better public service delivery (De Treville, *et al.* 2005:232-234).

The findings of statement C5 (*Monitoring and evaluation done by management to assess the internal control system*) of the questionnaire revealed that uncertainty exists of the monitoring and evaluation conducted by management to assess the internal control system. This raised the follow-up question:

***“Please explain how monitoring and evaluation is undertaken to assess the internal control system at the Centre.”***

Manager A answered:

*“The management of the Municipality monitors the control environment of the Centre by conducting risk assessments. They use financial reports to identify risks. The management of the DLTC is responsible to oversee the control mechanisms at the Centre. .... We are running the DLTC with a shortage of staff, and the supervisors cannot do management’s duties.... We provide services to the public and experience high volumes of applications and licence related queries. ... We do not have time to oversee every single action. Checks has been built into eNaTIS that prevents unauthorised access.”*

Manager A confirmed the components of the internal control system of the DLTC is the control environment, risk assessment, control mechanisms and information and communication, as highlighted in Chapter 3, section 3.6.1 (*Components of an internal control system*). Challenges relating to monitoring and evaluation, such as lack of staff and limited time was also mentioned. These challenges as well as the divided responsibility of monitoring between the management of the Madibeng Municipality and the management representative at the Centre, could be some of the reasons for the uncertainty regarding monitoring and evaluation at the DLTC. Furthermore, monitoring and evaluation of the Centre’s internal control system should include the review of existing procedures. Thus, standard operating procedures need to be

developed for the effective implementation of each of the internal control mechanisms (Arwinge 2013:42).

## **Supervisors**

As stated in Chapter 3, section 3.6.1.3 (*Control mechanisms*), control activities or mechanisms are the structures, policies and procedures that help to ensure that management's directives are executed at all levels of an organisation. However, weak internal control mechanisms delay reaching institutional objectives that could result in organisational weaknesses, fraud or any other irregularities. High quality internal control mechanisms are thus required to: (1) ensure compliance with applicable laws and regulations; (2) promote reliability of financial and managerial reporting; and (3) co-ordinate the effectiveness and efficiency of operations so that institutional objectives are pursued according to plan. Moreover, the implementation of internal control mechanisms eases the achievement of organisational specific goals (Changchit, Holsapple & Madden 2001:438; Kgomo & Plant 2015:87-89; Diamond 2016:374 & 379). Thus, as a follow-up question to the responses to statement C1 (*Guidelines and minimum standards for the implementation of internal control mechanisms*), and in light of the presence of internal control mechanisms at the different management levels of the DLTC, the supervisors were asked to respond to the question:

***“Please elaborate on the quality of the guidelines for the implementation of internal control at the DLTC.”***

Supervisor A reflected on authorisation and approval as an approach to detect and prevent risks at the Centre. He argued that:

*“eNaTIS reports are printed to identify any unauthorised transactions, and to approve any outstanding actions. I thoroughly check the supporting documents to make sure that there are no unauthorised alterations.”*

Supervisor A's answer can be linked to the arguments held by Diamond (2016:376) and Mofolo (2015:896) that authorisation and approval are protective control measures that guard an organisation against illegal and dishonest actions. It can be inferred that authorisation and approval is necessary at the MM DLTC to ensure that the resources are utilised in the interest of the Madibeng Municipality and the public.

Supervisor B accentuated the implemented physical controls at the Centre:

*“Our security at the Centre is very strict. They are authorised to search staff members and the public should they detect any suspicious behaviour. ...*



*Members of the public are requested to complete the visitor's book when they want to talk to the management representative. ... The security guards have been instructed to take extra caution against the theft of eNaTIS equipment"*

Based on the response by Supervisor B, it is revealed that the physical controls at the Centre, including the security guards, are primarily responsible for protecting institutional resources and assets from losses as underscored by Pickett (2001:155).

Supervisor Cs response focused on accounting controls:

*"Every eNaTIS transaction can be traced and are audited through cash-ups and balancing checks at the end of each working day. The cashiers must record all moneys received in the correct way, and they have to make sure that they received the amounts due."*

Supervisor C expressed the same perception held by Mofolo (2015:893) that financial and accounting controls ensures that an institution's transactions are valid and recorded completely. The value of the daily and monthly balancing and reconciliation controls of the MM DLTC must not be underestimated because it contributes towards transparent and accountable activities at the centre.

Statement C5 (*Monitoring and evaluation done by management to assess the internal control system*) endeavoured to measure the quality of the processes followed to assess the internal control activities and mechanisms at the MM DLTC. It became clear during the data analysis that the respondents were not convinced that monitoring and evaluation at the MM DLTC is executed as required. Consequently, the following question was also posed during the personal interviews:

***"Is there reference to policy documents/ records in the standard operating procedures? If not, is there a need to include a list of the relevant policy documents in standardised procedures?"***

Despite the fact that certain existing procedures do not refer to policies or the related Acts and Regulations, the three supervisors were unanimous of the listing of the relevant policy documents and records in future developed procedures. As a result, and as evident in Chapter 5, section 5.8 (*Standard operating procedures to issue drivers licences*), the relevant documents and records were consequently added to the newly developed standardised procedures.

In essence, the interviews with the supervisors confirmed that internal control at the MM DLTC assists them to supervise the staff so that driver licences are issued as prescribed by legislation. From the variety of topics addressed in their responses, the supervisors also confirmed that the internal control mechanisms cannot exist in

isolation, but need to function alongside other administrative functions and processes as explained in Chapter 2, Figure 2.2 (*Schematic illustration of the development of standard operating procedures*).

#### **6.5.4 Challenges towards implementation of standard operating procedures**

Statement D2 (*Lack of understanding objectives that should be met*) of the questionnaire endeavoured to establish DLTC staff general familiarity with the general objectives of the Centre. (Refer to section 6.4.3.2 (*Lack of understanding objectives that should be met*) for more detail.) Based on the majority of the respondents who revealed that a lack of understanding exists, it seems that the objectives set by the DLTC are vague or too complicated. Subsequently, this aspect required further clarification during the follow-up interviews.

##### **Management**

To gather more detail about the difficulties experienced by the MM DLTC, the following question was directed at Management A:

***“It seems from the responses to the questionnaire that the employees do not understand the objectives of the Centre. Do you agree with this finding?”***

Manager A responded:

*“The majority of staff is cashiers and examiners who perform routine tasks. I guess they do not see the bigger picture. .... Our main objective is to deliver excellent driver fitness services, and each staff member plays an important part in reaching this objective”*

Manager A posited the primary objective of the DLTC is to provide excellent driver fitness services. It is deduced from this statement that the MM DLTC has a clearly formulated objective that can be interpreted by the staff. However, challenges can be experienced implementing such a broad statement.

With regard to resistance to implement standard operating procedures, it was stated in Chapter 2, section 2.2.2 (*Institutional perspective*) that most institutional actions and behaviour reflect a pattern of executing its functions as it evolved over time and was legitimised within the organisation. As a result, resistance to change may be experienced because it is not easy if one is used to executing a task in a particular way over many years (Scott & Small 2013:8-10). Against this background, statement D5 (*Resistance to implement standard operating procedures*) of the questionnaire sought to determine how frequently resistance to implement standard operating

procedures at the MM DLTC occurs. As revealed in above section 6.4.3.5 (*Resistance to implement standard operating procedures*), the majority of the respondents held that the DLTC staff is occasionally unwilling to implement standard procedures. As a follow-up question, Manager A was requested to respond to the following question:

***“Would you say that there is resistance towards the implementation of standard operating procedures at the DLTC, and if so, please elaborate on the reasons?”***

Manager A commented:

*“The staff is eager to implement standardised procedures as it creates a known-environment. But, it is not easy to introduce change.”*

Based on Manager As response, it was revealed that the staff does not resist the utilisation of existing procedures. However, it seems that there is indeed resistance to implementing new approaches to execute functions. Opposition against change and the implementation of updated policies and procedures to issue driver licences is thus expected. To limit resistance, the management as well as the staff at the Centre must be engaged from the initial stages in the simplified procedure development process as confirmed in Chapter 2, section 2.6.1 (*ADDIE instructional design model*).

## **Supervisors**

As stated in Chapter 5, section 5.7.4.8 (*Supervision*), supervisory duties at the MM DLTC includes the monitoring of staff attendance, measuring of productivity and ensuring that the staff are at their posts and ready to perform duties on time. Additional tasks include the distribution of the daily workload and the overseeing of the cash-up procedures as well as ensuring balancing at the end of each day. Ensuring that the cashiers hand the required documents and receipts to their clients and control the issuing of face value documents which is also part of the supervisors' responsibilities (Government Notice 27589 2005:3-8). Statement D1 (*Rigid and unyielding supervision*) of the questionnaire sought to determine if overly rigid supervision occurs at the MM DLTC because of the integral role supervision plays as a control mechanism at the DLTC. The majority of the responses selected occasionally. Consequently, the approach to supervision at the Centre could not be established as described in above section 6.4.3.1 (*Rigid and unyielding supervision*). The following follow-up question was posed during the personal interviews with the DLTC supervisors:

***“How do you fulfil your role as supervisor at the MM DLTC?”***

Supervisor A's response was:



*"I have to be very strict. It looks like the cashiers know what transactions to perform to manipulate the system."*

Supervisor B commented:

*"I am responsible to oversee the front-line employees. They arrive late at work when I am not checking the attendance registers."*

Supervisor C underscored the balancing procedures:

*"We supervise the cashiers in a strict manner because they receive cash and lots of money. We balance them and make sure that they pay the shortages."*

The three supervisors confirmed that they practise their supervisory duties diligently and firmly, because they are expected to monitor the activities of their sub-ordinates closely to ensure that the organisational objectives are met. As such, the supervisors at the DLTC will be able to correct problems before they become too costly, as asserted by Visser and Erasmus (2015:288).

The research question 'What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?' addressed the outstanding matters relating to the challenges towards the implementation of standard operating procedures at the MM DLTC. The following was revealed:

- Despite the uncertainties raised in the responses to statement D1 (*Rigid and unyielding supervision*) of the questionnaire, the qualitative data confirmed that supervision at the MM DLTC is fair and sufficient. They would assist in rolling out updated standardised procedures.
- The responses to statement D2 (*Lack of understanding objectives that should be met*) revealed that there is a lack of understanding at the DLTC's. However, based on the response from Manager A, it was revealed that the primary objective of the Centre is not too complex to understand. Unfortunately, no example of any short-term objectives could be provided by Manager A. Nonetheless, when considering the responses to statement E1 (*Identifying and analysing organisational objectives*) it became clear that the short-term objectives of the Centre is overly complicated. Likelihood exists that the operations at the Centre will be captured in routine work without any job satisfaction for the management and the staff. Consequently, the employees might lose sight of the primary objective and become demotivated. Should clear short-term objectives not be made available, the employees will ultimately be less productive because they will be disappointed in not reaching the institution's goals.

- The responses to statement D5 (*Resistance to implement standard operating procedures*) revealed that occasional resistance to implement standardised procedures occurs at the MM DLTC. In an effort to limit any resistance, it is suggested that a team approach be followed when developing new methods and procedures.

### **6.5.5 Improving implementation of procedures and internal control mechanisms**

As standard operating procedures are constantly subjected to input and feedback from a wide range of role-players, continuous improvement should be encouraged to prevent stagnation (LeMay 2006:127 & 138). Against this background, statement E4 (*Providing timeous feedback on newly accepted procedures*) sought to establish how difficult it is for the respondents at the MM DLTC to provide or acquire feedback of new procedures to issue driver licences. The majority of the respondents (sixty percent in total) revealed that the feedback process is very complex and a high number of resources and time is required to update standard operating procedures at the Centre, as described in above section 6.4.4.4 (*Providing timeous feedback on procedures*). Hence, the responses confirmed the research problem that the lack of contemporary and relevant standard operating procedures impedes the effective issuing of driver licences at the MM DLTC. Based on the majority of the respondents' opinions, it is concluded that one of the primary reasons for the archaic and outdated procedures at the MM DLTC, is that the process of providing feedback on existing and new procedures is extremely complex. The selected participants were interviewed to gather additional information.

### **Management**

Manager A was asked:

***“How would you improve the feedback process of the current standard operating procedures at the Centre, specifically feedback from examiners for driver licences?”***

Manager A replied:

*“We don’t have an official feedback process in place, but, the supervisors inform me verbally when they detect errors in our procedures. I then make notes on the procedures... I have not received any feedback from the examiners.”*

It is necessary to refer to the dual nature of standard operating procedures when analysing the response by Manager A. As described in Chapter 3, section 3.7.3 (*Written policies and procedures*), standardised procedures directs the manner in

which operational tasks should be implemented, as well as serve as an internal control mechanism (Alvarez & Hall 2008:830). Manager A's comment about not having an official feedback process in place, revealed that the dual nature of standardised procedures is not honoured at the Centre. Consequently, standardised procedures are required to gather feedback of the standard operating procedures to issue driver licences.

## **Supervisors**

The DLTC supervisors were asked:

***“How would you improve the implementation of standard operating procedures and other internal control mechanisms at the DLTC?”***

Supervisor A's response:

*“We need to report any deficiencies in the current procedures to the management representative. The procedures need to be correct and must assist me in doing my work. It will be an improvement when the procedures include relevant and helpful information.”*

Supervisor B explained:

*“Our procedures are not hundred percent correct. We must use the Act when we are unsure on how to respond to customer queries. We can easily find the relevant section in the Act, but we only have one Act at the Centre.”*

Supervisor C focused on the need for training:

*“We have to be trained on how to implement any new procedures.”*

The three responses by the supervisors confirmed what was described as the minimum requirements for standard operating procedures in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*) and in Chapter 5, section 5.7.4.3 (*Written policies and procedures*). Standard operating procedures at the DLTC focuses exclusively on adherence to legislation. The procedures must, therefore, reflect the subject, purpose, responsibilities and related forms and documents. The required facilities and equipment, and any additional information must also be included in each procedure. Any deviations from this format as well as from legislated stipulations need to be reported to the management representative for remedial action. Evidence should be supplied so that management can effect the changes soonest.

The research question: ‘How can the implementation of standard operating procedures be enhanced at the MM DLTC?’ revealed the following findings to improve the implementation of standard operating procedures and other internal control mechanisms at the MM DLTC:

- Standardised procedures are required to acquire feedback on the standard operating procedures of issuing driver licences. An increased effort must be made to streamline the internal control processes. However, caution should be taken against the implementation of an overly detailed internal control system at the Centre.
- The template utilised for the development of new procedures must include supporting information, such as the purpose of the procedures, a list of the relevant policy documents and any required resources.

#### **6.5.6 Writing standard operating procedures**

As stated in Chapter 1, section 1.6.4.1 (*Policy-making*), operational policies are the most specific type and are often narrowly scoped to fit a specific working environment. As operational policy, standard operating procedures should enable the MM DLTC to fulfil its mandate which is vital for the day-to-day management of the Centre. Thus, standard operating procedures guide the actions of the DLTC staff when interpreting and executing road traffic legislation, as suggested by Reddy and Govender (2014:159 & 160). Therefore, due to the important role that standardised procedures play during policy implementation, it should be written and presented such that it is implementable. This implies that the purpose of the procedure as well as the equipment needed to implement it, must be specified clearly. Furthermore, outdated procedures must be identified and streamlined. It is thus also important to introduce new and innovative ways of performing routine tasks.

Within this context, the staff at the MM DLTC are, almost daily, defining improved ways of service delivery to their customers. However, a particular set of skills and competencies, for example, diligent compliance with the *Batho Pele* principles, mind-sets willing to improve and renew any outdated internal controls as well as constantly growing knowledge of the NRTA of 1996 and the eNaTIS system, is required to drive innovative service delivery. It is thus alarming that the majority of the respondents to statement F1 (*Finding new and innovative methods and procedures of performing tasks*) of the questionnaire held that new and innovative methods and procedures of performing tasks is of limited significance as elaborated on in above section 6.4.5.1 (*Finding new and innovative methods and procedures*). The matter was also

addressed during the personal interviews with the Centre's management and supervisors.

## **Management**

Manager A was asked:

***“How would you manage the writing and implementation of new and innovative ways of performing routine tasks at the Centre?”***

Manager A replied:

*“When performing the same job day after day, it is not easy to adopt change or to be innovative. ... We have fixed scheduled tests on eNaTIS and we work according to strict deadlines. I monitor the overall performance of the Centre and identify risks and threats. ... I will appreciate assistance in this regard.”*

When considering the excerpt *“it is not easy to adopt change or to be innovative”*, Manager A implied that the implementation of innovative procedures at the DLTC is problematic. However, a solution is offered by Barbosa, *et al.* (2011:132 & 133), who advocated that collaboration among all role-players during the development of the procedures, increases efficiency and effectiveness when implementing it. Furthermore, standardised procedures must continuously be revised for the effective implementation thereof as highlighted in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*).

## **Supervisors**

To seek further clarity of how to find new and innovative methods and procedures for the issuing of drivers licences, the DLTC supervisors were asked:

***“Would it be possible to introduce and implement new and innovative ways of performing routine tasks at the Centre?”***

Supervisor A reacted in the negative, and only focused on the eNaTIS system and responded that:

*“No, eNaTIS prescribes what must be done.”*

Supervisor B's response was:

*“Yes, because we are stuck in our routines and that is demotivating. Doing our work in a new fashion will inspire us to work better and faster with the available resources.”*



Supervisor C replied:

*“Yes, we need to improve our customer care. We can introduce better procedures.”*

Two of the three supervisors revealed that they would welcome new and innovative procedures to motivate the staff and to improve service delivery at the Centre. The supervisor who indicated that new approaches to perform their routine tasks is pointless; suggested that eNaTIS has built-in prescripts to be conformed to. Based on the above responses, it was revealed that there is a need for modernised procedures at the MM DLTC, but requires thought of the requirements of licensing and road traffic legislation that serves as the basis for the functioning of the eNaTIS system as confirmed in Chapter 5, section 5.4.6 (*Minimum requirements for DLTCs (2000 – 2009)*).

This concludes the data analysis of the qualitative data. All the matters that were identified during the analysis of the responses to the questionnaire for further clarification was attended to during the follow-up interviews and the findings were provided.

## **6.6 SUMMARY**

This chapter presented the findings from the data gathered through the questionnaire and follow-up personal interviews. The questionnaire was administered to the management representatives, DLTC supervisors and front-line employees, eNaTIS cashiers and driver licence examiners at the MM DLTC, whilst the interviewees included a management representative and supervisors drawn from within the structure of the DLTC. As noted, both groups of respondents play significant roles in the development and implementation of standard operating procedures to issue driver licences. The information gathered through the questionnaire served as a yardstick against which progress in the development and implementation of standardised procedures to issue driver licences can be evaluated. The aspect earmarked for further clarification was addressed in the follow-up personal interviews. The findings of the study are indicative of the use and significance of standard operating procedures at the MM DLTC, and the challenges which require attention. By responding to the items in the questionnaire and in the interview schedules, the participants provided invaluable input to produce the basic framework for the development of standard operating procedures as well as the concluding remarks and recommendations.

## **CHAPTER 7: CONTRIBUTION OF THE RESEARCH, CONCLUSIONS AND RECOMMENDATIONS**

### **7.1 INTRODUCTION**

The contribution of this study about the development and implementation of methods and procedures to issue driver licences in the discipline Public Administration, is found in a basic framework for the development of standard operating procedures, and this chapter presents a schematic illustration of the framework. The purpose of this chapter is to reveal how the research aim and objectives were achieved by providing a brief synopsis of each chapter, after which an overview of the realisation of the objectives follows. Conclusions are subsequently presented before recommendations are made. The limitations of the research is discussed and suggested areas for further research follows. As a reminder, the generic administrative function of determining and revision of methods and procedures was referred to as 'methods and procedures' throughout the thesis.

This study set out to explore the development and implementation of methods and procedures to issue driver licences at the Madibeng Municipality. The formulated research problem is: 'The lack of contemporary and relevant standard operating procedures impedes the effective issuing of driver licences at the MM DLTC'. To resolve the research problem, various questions were posed:

- What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration?
- What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?
- Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?
- What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?
- What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?
- How can the implementation of standard operating procedures be enhanced at the MM DLTC?
- How to write standard operating procedures to issue driver licences at the MM DLTC?

The practical relevance of the above-listed research questions enhanced Public Administration through a better understanding of the value and benefits that standard operating procedures as an internal control mechanism possesses. The study to determining, revision and implementation of standard operating procedures to issue driver licences expressed policy formulation and implementation at operational level, and confirmed the interdependent and interrelated nature of the processes and activities at the MM DLTC. In essence, the primary purpose of this study was to provide recommendations of how to develop and implement standard operating procedures of issuing drivers licences. To operationalise the research, the overall aim was divided into the following objectives:

- The first objective of this study was to conduct a comprehensive literature review of the nature and scope of the determining and revision of methods and procedures as a generic administrative function.
- The second objective was to evaluate the implementation of standard operating procedures as an internal control mechanism by critically reviewing an internal control system and mechanisms of value to the MM DLTC.
- The third objective was to investigate the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC.
- Objective four comprised the development of a set of standard operating procedures to issue drivers licences at the MM DLTC.

As stated above, the primary contribution of this study was found in the basic framework for the development of standard operating procedures. The process leading to the formulation of the framework is described in the following section.

## **7.2 CONTRIBUTION OF THE RESEARCH**

It is important to note that it was not the primary purpose of the study to define a framework. The framework was primarily informed by the systems theory illustrated in Chapter 2, Figure 2.1 (*Simplified schematically illustration of the systems theory*), accumulated practical knowledge of policy formulation at the MM DLTC as well as the findings of the empirical research presented in Chapter 6. Within this context, the ADDIE instructional design model as described in Chapter 2, section 2.6 (*General guidelines for development of standard operating procedures*) and Figure 2.2 (*Schematic illustration of the development of standard operating procedures*), was applied to simplify the framework. Moreover, Figure 3.1 (*Simplified illustration of a system of internal control*) of Chapter 3, contributed towards the identification of the internal control mechanisms utilised to monitor the implementation of standardised

procedures. A *modus operandi* for the development of standard operating procedures was provided in Chapter 4, section 4.9 (*Strategies to design a framework for development of standard operating procedures*) by reflecting on the essential activities that must be executed.

A framework is commonly known as a research output in which ideas, concepts and plans are presented. In Public Administration, frameworks are generally presented in a non-prescriptive manner to allow the users thereof to customise it to their unique circumstances and needs (Nilsen 2015:3-5). Thus, the recommended basic framework serves as an outline of the interlinked phases and fundamental elements which support the development of standard operating procedures at operational level. It serves as a guide that can be modified as required. Municipal officials who use this framework may, therefore, select their own priorities or risk areas at a pace that suits their institution circumstances and available resources.

### **7.2.1 Critical phases for development of standard operating procedures**

The supremacy of the Constitution of the Republic of South Africa of 1996 served as the foundation for the development of standard operating procedures. As stated in Chapter 1, section 1.6.2.1 (*Supremacy of the Constitution of 1996*), Parliament cannot determine standard operating procedures for every single series of government activities. As a solution, depending on the nature and potential effect of legislation, Parliament delegates the authority to determine methods and procedures to responsible authorities. The drafting of methods and procedures is thus delegated to responsible authorities at operational level. Methods and procedures then serve as a necessary bridge between the political decision-making system and the officials who implement public policy on operational level. A legal perspective, as described in Chapter 2, section 2.2.3 (*Legal perspective*), thus provides detail of the framework (Brynard 2013:86 & 87).

The following phases were followed during the development of the standard operating procedures included in Chapter 5, section 5.8 (*Standard operating procedures to issue drivers licences*). The need to develop and implement standard operating procedures was identified in Chapter 1, section 1.2 (*Rationale for conducting the research*). A literature review and document analysis in Chapters 2 and 3 followed, and the legal framework that governs issuing driver licences was determined, that is: NRTA of 1996, NRTRs of 2000, PFMA of 1999, MFMA of 2003, Government Notice 27589 of 2005 and Government Gazette 36520 of 2013. The lack of specific procedures to issue driver licences was identified in Chapter 5, section 5.7.3.2 (*Application for and issuing of driver licences*). An analysis of the context in which the procedures would be

developed was completed, input was sought and the procedure agenda set. The procedure analysis phase was followed as the goal-setting stage, and it is within this phase that knowledge of the workflow and organisational structure of the MM DLTC was acquired. Equipment and resources required were also identified. The national Department of Transport, Inspectorate of Driving Licence Testing Centres, North-West Provincial Department of Transport, Madibeng Municipality, and the employees and managers of the MM DLTC were identified as important role-players. The results to the responses in section F (*Writing standard operating procedures*) of the questionnaire was utilised comprehensively. The functioning and built-in processes of the eNaTIS system was also considered during the formulation of the procedures. Most importantly, as previously stated, attention was given to detailed legislated requirements.

During the conversion, the procedural information and design of each task as well as the individual steps needed to complete it, was specified. The MM DLTC management as well as staff at the Centre were engaged in the development process. The framework was created by procedure-makers (usually accustomed to the top-down policy-making approach) and the procedure-implementers (who were traditionally promoters of a bottom-up policy-making approach).

The output of the development process, namely: the draft procedures, was revised and refined for smooth implementation. Should the Madibeng Municipality management in the future approve and adopt the procedures, the following phase in the procedure development process, that is, procedure adoption, would be achieved and permission would be granted to utilise and implement the procedures. Since the actual implementation of the newly drafted set of procedures falls outside the scope of this study, the evaluation of the implementation of the procedures would be the responsibility of the MM DLTC management. The ultimate responsibility lies with the municipal council to approve or reject the set of procedures and to make amendments if required. The municipal council has to take certain factors, such as operational, technical and financial feasibilities, as well as any organisational, personnel and legal implications into consideration when deliberating the procedures.

Once adopted, the procedures should be reviewed regularly by management and the operational staff to ensure it is still relevant to manage the problems it was designed for. The implementation of the methods and procedures will have to be monitored and evaluated to determine whether it achieved the intended goals. As suggested in Chapter 5, section 5.7.4 (*Internal control mechanisms at the MM DLTC*), the following internal control mechanisms should be used to monitor the implementation of the procedures: organisational structure, segregation of duties, written policies and

procedures, physical and mechanical control, authorisation and approval, accounting controls, training of staff, supervision, management as well as information and communications technology.

The development of the standard operating procedures as operational policy at grass-root level mirrored the complexities and multi-sphere nature of policy-making by national, provincial and local government authorities. Following the above overview, it is concluded that the framework for the development of standard operating procedures should comprise of the following critical phases:

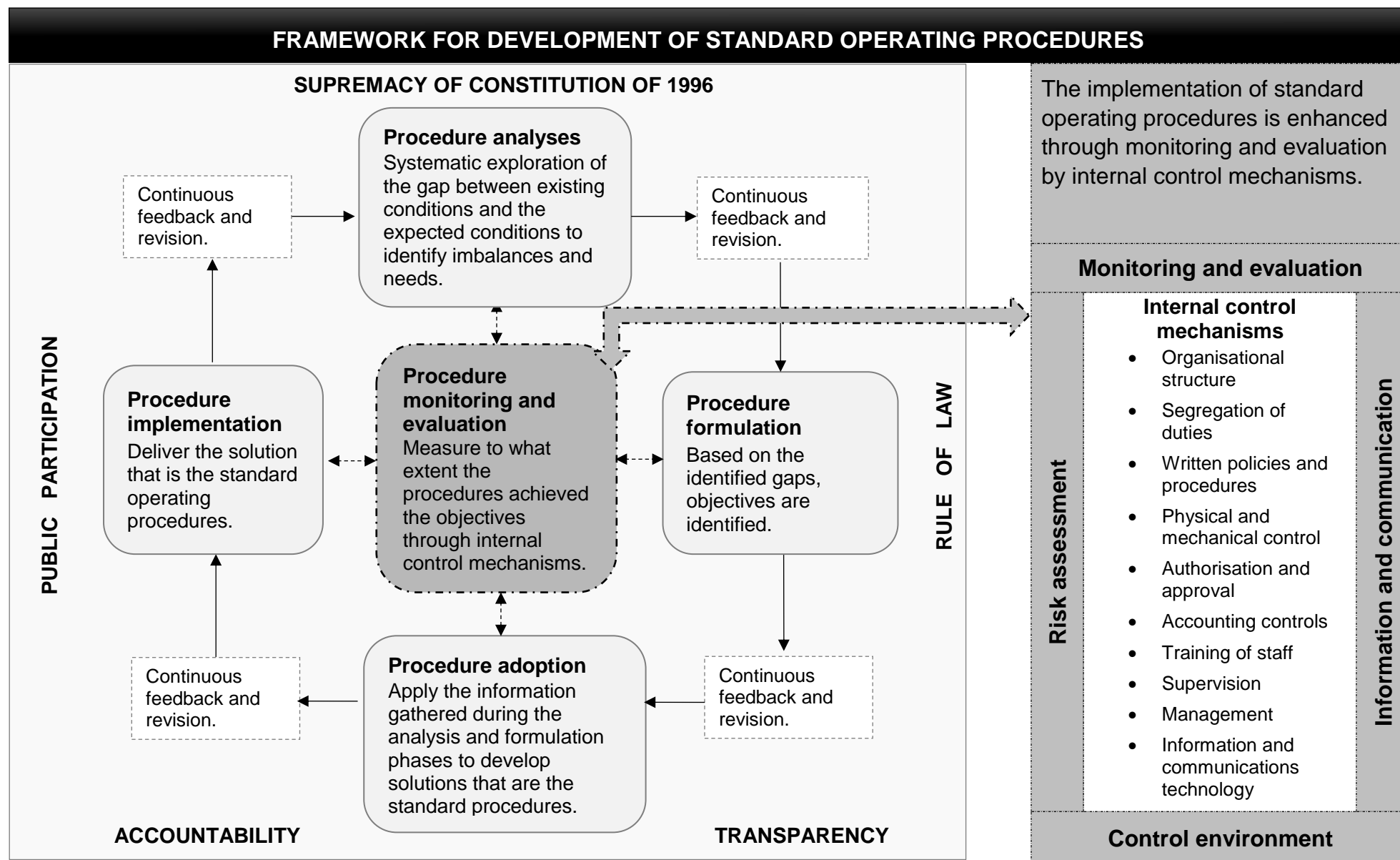
- Procedure analysis.
- Procedure formulation.
- Procedure adoption.
- Procedure implementation.
- Procedure monitoring and evaluation.
- Continuous feedback and review.

A systems approach to implement the framework is applied because it comprises of multiple influences among the different phases. However, obstacles from the internal and the external environment that could influence the implementation of the framework, should be identified and addressed prior to adopting the framework.

### **7.2.2 Illustration of framework to develop standard operating procedures**

The ADDIE instructional design model was used to streamline the procedure development process. The phases of the ADDIE model, i.e. analysis, design, development, implementation, and evaluation, as identified in Chapter 2, section 2.6.1 (*ADDIE instructional design model*) was complied with when developing the standard operating procedures.

The following Figure 7.1 presents the proposed framework and illustrates the critical phases and the fundamental elements of developing standard operating procedures.



**Figure 7.1: Schematic illustration of the framework for the development of standard operating procedures**

Section 7.2.1 above (*Critical phases for development of standard operating procedures*) summarised the processes followed to formulate the framework for the development of standard operating procedures so that it can be of value to the MM DLTC and other government institutions. The fundamental elements included in standard operating procedures were identified in Chapter 4, section 4.9 (*Strategies to design a framework for development of standard operating procedures*) as well as in Chapter 5, section 5.7.4.3 (*Written policies and procedures*).

This section was devoted to the contribution of the study and Public Administration as a discipline. The section provided an overview of the highlights of the phases followed during the drafting of the set of standard operating procedures to issue driver licences to clarify the framework for the development of standard operating procedures into perspective. The following section is a brief synopsis of each chapter of how the research questions were answered.

### **7.3 SYNOPSIS OF THE CHAPTERS OF THE THESIS**

The research problem and questions were addressed as follows. **Chapter 1**, as the introductory chapter to the research, commenced by motivating the research topic. The problem statement and the research questions were described followed by the aim and research objectives. A brief overview of the geographical dimension of the research was subsequently provided to outline the scope of the research. As this study falls within the discipline Public Administration, a conceptual analysis was presented to highlight the key principles of public administration in South Africa, namely: the supremacy of the Constitution of 1996, rule of law, public accountability, public participation and transparency. These principles as well as the subsequent defined associated concepts formed the backbone of the recommendations included in this chapter of how to develop and implement standard operating procedures to issue driver licences. Hereafter, methods and procedures were introduced as a generic administrative function. It was also mentioned in this chapter that a mixed methods research design would be adopted in this study. The significance and contribution of the research was also highlighted, followed by the significance to acquire ethics clearance. Chapter 1 was concluded with the clarification of the chapters of the thesis.

**Chapter 2** was devoted to the research question: 'What is the nature and scope of the generic administrative function, the determining and revision of methods and procedures in public administration?' Based on the definitions of the concepts of 'methods' and 'procedures' provided in Chapter 1, section 1.6.3 (*Associated concepts*), different perspectives of methods and procedures was described in Chapter 2. The theory of scientific management, bureaucracy, systems theory and the



public choice theory was explained. The systems theory was found to be most applicable to this study. The nature and scope of methods and procedures was explored further. This was done by means of highlighting the importance, advantages and disadvantages as well as the circumstances that necessitates methods and procedures in public institutions. The research question: 'What is the significance of determining and revision of methods and procedures, and standard operating procedures in the DLTC environment?' was also discussed. This aspect was later responded to in detail in Chapter 6.

Furthermore, barriers or challenges towards the successful implementation of methods and procedures were identified to address the research question: 'What challenges does the MM DLTC experience with regard to the implementation of standard operating procedures and other internal control mechanisms?' to a certain extent. Specific challenges experienced by the MM DLTC were explored further in Chapter 6. Chapter 2 also considered the link between bureaucracy, red tape and standard operating procedures, as well as the benefits of implementing standard operating procedures in public institutions. The chapter was concluded with a brief explanation of the general guidelines to draft standard operating procedures. Theoretical information on which recommendations for determining and review of methods and procedures could be made to the MM DLTC, was therefore included in Chapter 2. The first objective of the study, namely: to conduct a comprehensive literature review of the nature and scope of determining and revision of methods and procedures as generic administrative function, was discussed in Chapter 2.

**Chapter 3** evaluated the implementation of standard operating procedures as an internal control mechanism by reviewing an internal control system and mechanisms that could be of value to the MM DLTC. The chapter commenced by defining internal control. To place standardised procedures as an internal control mechanism within the context of the discipline Public Administration, the changing role of internal control and its theoretical foundation was elaborated on in detail. The internal control regulatory framework was outlined, followed seeking a response to the research question: 'Which components need to be considered when designing an internal control system and mechanisms for the MM DLTC?' The primary components of an internal control system and its leading mechanisms, of which standard operating procedures is one, was focused on. Chapter 3 also considered the most prominent role-players in internal control, as well as the significance of the evaluation of the internal control system. Notably, the theoretical requirements for the implementation of internal control mechanisms as described in Chapter 3, was effectively applied to the case study in Chapter 5.

**Chapter 4** provided an overview of the research design and methodology. The preferred research philosophy, design, approach and methodology to address the problem of outdated and irrelevant standard operating procedures at the MM DLTC, was identified and described in Chapter 4. Furthermore, the population of the case study and the sampling techniques were also outlined. The data analysis processes was explained, followed by the strategies to develop a framework for the development of standard operating procedures. Quantitative measures, requirements for qualitative soundness and ethical considerations were also included in this chapter. Although Chapter 4 did not address a specific research question, it would not have been possible to focus on the research problem and reach the general aim of the study without a properly formulated research design and methodology. Moreover, it would have been impossible to develop a complete set of standard operating procedures to issue driver licences at the MM DLTC and produce a basic framework for the development of standard operating procedures without a well-structured methodology.

**Chapter 5** was devoted to the research question: 'What is the purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC?' to realise the third objective of the study, since this chapter focused on the MM DLTC. The significance of advancing the case study was discussed before the issue of driver licences as a public service was put into perspective when the historical overview thereof was provided. Driver fitness regulatory institutions were elaborated on followed by the structure and scope of DLTCs in South Africa. The purpose, structure and functions of the MM DLTC was discussed and illustrated through organisational charts that reflected the methods and procedures to issue learner and driver licences, including professional driving permits. The recent set of standard operating procedures to issue driver licences concluded the chapter.

**Chapter 6** focused on the data analysis and findings to, amongst other research questions and respond to the questions: 'How can the implementation of standard operating procedures be enhanced at the MM DLTC?' and 'How to write standard operating procedures to issue driver licences at the MM DLTC?' The following objective of the study, namely: develop a set of standard operating procedures to issue driver drivers licences at the MM DLTC was also achieved after completing Chapter 6. The chapter commenced with an analysis of the quantifiable data gathered from the questionnaire before the data analysis and findings of the qualitative data was presented. The response rate of the data collection instruments as well as the demographic profile of the participants was also discussed.

**Chapter 7** (this chapter) explained how the systems theory and the ADDIE instructional design model was utilised during the development of the new set of

procedures to issue driver licences; and produce a basic framework for the development of standard operating procedures. This was discussed to accentuate the contribution of the study to the discipline, Public Administration. The chapter also provided a synopsis of the seven chapters of the thesis, as well as a summary of how the objectives were achieved. The primary conclusions were also presented. This chapter also comprised the recommendations for the development of standard operating procedures to ensure that driver licences are issued effectively and efficiently at the MM DLTC. Furthermore, the limitations of the study are highlighted before suggestions for further research concluded the chapter.

A summary of the findings is provided below.

#### **7.4 SUMMARY OF FINDINGS AND REALISATION OF RESEARCH AIM AND OBJECTIVES**

The theoretical and empirical findings emanated from achieving the primary research aim and realising the four research objectives. This section describes the primary findings in accordance with the research objectives.

##### **Objective 1:**

**Conduct a comprehensive literature review of the nature and scope of determining and revision of methods and procedures as a generic administrative function.**

A comprehensive literature review of the nature and scope to determining and revision of methods and procedures was conducted and presented in Chapter 2 as basis for the research. Distinct theories that influenced the determining and revision of methods and procedures was revealed. The theory of scientific management of Frederick Taylor gave birth to the concept 'standard operating procedures'. Taylor promoted the standardisation of the primary components of a task as the best approach to perform that task. It was further established that the bureaucratic approach proposes adherence to authority, internal control, hierarchy and unity of command. Furthermore, it was also established that the public choice theory encourages the inclusion of feedback from the public during procedure development and review processes. After considering the above-named theories carefully, the systems theory was considered the most suitable to develop standard operating procedures to issue driver licences at the MM DLTC.

During the analysis of the nature of methods and procedures, it was revealed that it offers every official involved in a specific step of a task, an overview of the total actions,

goals and objectives of the institution. In this way, the official acquires a better understanding of all the steps of a task as well as the detailed activities. Public officials subsequently understand how their activities relate to those of their colleagues. It was further revealed that by aligning methods and procedures to a department's core processes and expected outcomes, the commitment from management to ensure accurate policy implementation becomes clearer. Thus, standard operating procedures that are accepted and approved by management, serve as evidence of the manager's effort to guide and direct officials to take appropriate preventative action to avoid typical problems at the workplace.

With regard to the empirical research, the participants confirmed that although outdated, the existing procedures at the MM DLTC aim to promote consistency among the employee's functions and duties. It was also confirmed that there is a lack of standardised procedures at the Centre. It emerged that the management and supervisors of the DLTC held a positive view of the advantages that the utilisation of standard operating procedures to issue driver licences may offer.

## **Objective 2:**

**Evaluate the implementation of standard operating procedures as an internal control mechanism by critically reviewing such system and mechanisms that are of value to the MM DLTC.**

When reviewing the primary components of an internal control system, namely: the control environment, risk assessment, control mechanisms, information and communication, and monitoring, it was revealed that these components are interrelated and supportive of each other. It was subsequently established that internal control mechanisms include a range of mechanisms, such as organisational structure, segregation of duties, written policies and procedures, physical and mechanical controls, authorisation and approval, accounting controls, training of staff, supervision, management, as well as information and communications technology. Furthermore, during the evaluation of the implementation of standard operating procedures as an internal control mechanism, it was detected that due to the nature of standard operating procedures to direct and guide the manner in which operational tasks and transactions are performed, as well as being an internal control mechanism itself, management should ensure that the organisation's standard operating procedures enhance each and every internal control mechanism. Moreover, it was also revealed that internal control mechanisms between different departments within an institution must be compatible and synchronised to prevent conflicting standards and ensure that the objectives are met timeously.

With regard to the empirical research, the responses to the questionnaire revealed that the guidelines, requirements and minimum standards for the design and implementation of internal control mechanisms were acceptable to the MM DLTC. In fact, it was revealed that the quality of the guidelines for the implementation of the internal control mechanisms was viewed as average by the respondents. It was also revealed that the risk assessment processes and risk management structures at the MM DLTC require revision to guarantee improved internal control. It was also revealed that the internal control mechanisms at the MM DLTC is of poor quality. Nonetheless, the communication channels were perceived to be effective. The empirical research also revealed uncertainty of the monitoring and evaluation conducted by management to assess the internal control system at the Centre.

Furthermore, it was revealed during the analysis of the quantitative data that supervision at the MM DLTC could not be established with absolute certainty. However, the qualitative data contradicted the findings from the respondents and confirmed that supervision at the MM DLTC is fair and sufficient. Consequently, the expectations set by the MM DLTC management was found to be fair and realistic. Unfortunately, it was confirmed that a lack of understanding the short-term objectives at the MM DLTC exists, and the Centre officials are occasionally unwilling to implement standard procedures. Moreover, deliberate attempts to obstruct or prevent accountability occurred occasionally at the Centre. It was further confirmed that there is indeed resistance to implementing new approaches at the MM DLTC.

### **Objective 3:**

#### **Investigate the purpose, structure and functions of DLTCs in South Africa with specific reference to the MM DLTC.**

The purpose, structure and functions of DLTCs in South Africa were thoroughly investigated in this study. Because specific reference was made to the MM DLTC, the significance of advancing a case study was highlighted to stress the significance of applying theory to practice during the research. To put the purpose, structure and functions of DLTCs in perspective, a detailed historical overview to issue driver licences was provided. In doing so, international highlights to issue driver drivers licences before 1850 was sketched before railways and uncontrolled transportation in South Africa during the period 1843 to 1948 was discussed. Highlights from 1960 to 1977 was presented to reveal the trend from no competition to deregulated road transportation. A description of the road transport quality system followed. It was revealed that the K53 test manuals were accepted in the early 1980s and the Road Transport Quality System, White Paper on National Transport Policy of 1986 and the Road Traffic Act 29 of 1989 were introduced during 1980 to 1989. Exploring the period

from 1990 to 1998, realised that the contemporary scene for driver fitness was outlined in the White Paper on the National Transport Policy of 1996, NRTA of 1996 and the NaTIS system which was implemented in 1996. It was also revealed that driving licence cards were introduced in 1996 to replace the driver licences which were previously included in identity documents. It was consequently revealed that minimum requirements for the registration of DLTCs was set in 2005, and eNaTIS was introduced in 2007 to pave the way for driver fitness as we know it in 2017.

After concluding the historical overview of driver fitness in South Africa, the role of the national Department of Transport and the Inspectorate of Driving Licence Testing Centres was explained as significant regulatory institutions in the DLTC and licensing environment. The structure and scope of DLTCs was explored to realise the objective to investigate the purpose, structure and functions of DLTCs in South Africa. Reference was made to the minimum requirements to grade DLTCs, and an explanation of the categorisation thereof was provided before a brief overview of the minimum physical requirements was presented. An explanation of the human resource requirements and responsibilities as well as record keeping and reporting requirements followed.

With regard to the Madibeng Municipality, it was revealed that the operational practices are guided strictly by the provisions of the NRTA of 1996. In brief, it was confirmed that the Centre is equipped and authorised to examine and test applicants for learner and driver licences of any code, substitute a drivers licence of any code with the new format drivers licence card, and issue new and duplicate learner's licences, drivers licence cards, and professional driver permits. The operational practices at the MM DLTC were further explored to establish how to implement standard operating procedures for the Centre. In doing so, the requirements for learner and driver licences, including professional driver permits were revealed. The organisational structure of the MM DLTC, staff composition and any existing processes were also considered. A review of internal control at the MM DLTC followed and it was revealed that the process at the Centre comprised manual and electronic systems as well as the procedures and processes implemented to minimise the risks to which it might be exposed.

#### **Objective 4:**

##### **Development of a set of standard operating procedures to issue driver licences at the MM DLTC.**

Achieving the objective of developing a set of standard operating procedures to issue driver licences at the MM DLTC was to address identified needs and gaps and

resolving problems through collaborating efforts and solutions. The need to develop and implement standard operating procedures to issue driver licences was identified, and was followed-up by a literature review and document analysis. A lack of procedures to issue driver licences was subsequently identified and the legal framework that governs the process was established. An analysis of the context in which the procedures would be developed was conducted. Goals were set, knowledge of the workflow and organisational structure of the MM DLTC was acquired and the equipment and resources to perform the range of tasks was identified. After careful deliberation, procedures to pre-screen the documents and the filing of driver related documents was developed. Procedures to book and confirm driver licence tests, issue driver licences, receive the driver licence card from the card production facility as well as the management of the collection of driver licence cards was also included in Chapter 5, section 5.8 (*Standard operating procedures to issue drivers licences*). Attention was given to legislated requirements. Input from the management representative was considered and the final draft of the procedures was handed to the management at the MM DLTC for approval. Once adopted, the procedures should be implemented, monitored and reviewed regularly.

With regard to the quantifiable data, the majority of the respondents were unfortunately convinced that it is not important to find new and innovative methods to update or develop standard operating procedures. Fortunately, the employees at the MM DLTC revealed that they are willing to work collaboratively when developing standard operating procedures to issue driver licences. They also held that it is important to follow prescribed approved processes. Furthermore, the equipment and resources required to perform a task should be incorporated into standardised procedures. It is, therefore, necessary for the staff to have knowledge of the workflow and the organisational structure. The qualitative data revealed that the methods and procedures at the MM DLTC should be sufficiently advanced and progressive to inhibit unproductivity

It is evident from the above summaries of the findings that the adopted research design to reach the highlighted findings was applicable and suitable for the research. Data was initially collected by using a questionnaire and follow-up personal interviews to clarify outstanding matters. It is concluded that the mixed methods research design was applied effectively because another research method was required to strengthen the primary research method. Further conclusions follow below.

## **7.5 CONCLUSIONS**

The primary conclusions of the study are presented below per research objective.

### **Nature and scope of determining and revision of methods and procedures**

It is concluded that the significance of standard operating procedures is found in well-structured explanations of how legislation and policy should be implemented. However, it is concluded that standard operating procedures encourage conformist behaviour among individuals working as a team to complete a task. As part of contending with red tape in the execution of standardised procedures, ambiguity in procedures must be excluded as it increases the possibility of errors and inconsistencies. Ambiguity is generally as a result of too wordy and long-winded or vague procedures.

Based on the empirical research, it is concluded that overly rigid and stationary standardised procedures impedes reliability in the behaviour of individual officials. It is also concluded that policy-makers in the licensing environment and the designers of standard operating procedures for DLTCs guard against rigid procedures that impede individual excellence. However, evidence should support proposals and requests for any amendments in approved and accepted standardised procedures.

### **Implementation of standard operating procedures as internal control mechanism**

The implementation of standard operating procedures as an internal control mechanism is explored by critically reviewing an internal control system and mechanisms that are of value to the MM DLTC. It was concluded that the quality of the guidelines for the implementation of the internal control mechanisms is average, but acceptable. It was also concluded that the risk assessment processes and risk management structures at the MM DLTC requires revision to guarantee improved internal control. It was also concluded that MM DLTCs internal control system must provide an assurance of the reliability of information captured on eNaTIS. As a solution, the implementation of standardised procedures will lead to fewer errors when undertaking routine tasks and will ultimately result in improved service delivery. Furthermore, the responsibility of monitoring the DLTC is divided between the management of the Municipality and the management representative at the Centre. Clear delineation of duties should be set in this regard. However, authorisation and approval is necessary to ensure that the resources are utilised in the interest of the Madibeng Municipality and the public.



Moreover, it is concluded that: (1) physical control at the DLTC is mainly concerned with the custody of assets and involves security measures designed to limit unauthorised access; (2) lack of understanding the short-term objectives of the MM DLTC exists; (3) MM DLTC officials are occasionally unwilling to implement standard procedures; (4) deliberate attempts to prevent accountability occur occasionally; and (5) resistance to implementing new approaches to conduct their functions occurs at the MM DLTC.

### **Purpose, structure and functions of DLTCs in South Africa, with specific reference to the MM DLTC**

The purpose, structure and functions of DLTCs in South Africa was researched extensively and concluded that the DLTC grade authorises the Centre to examine and test a person for a learner and driver's licence of a specific code, depending on the minimum physical equipment and facilities. Also important is that every DLTC must appoint a management representative, support staff, eNaTIS cahiers, administrative clerks, helpdesk officer, filing clerks and examiners for driver licences. In essence, the historical overview of issuing driver licences revealed that standard operating procedures of driver fitness as specified in the NRTA of 1996, is still lacking. It was concluded that policy implementation at operational and administrative level at DLTCs is impeded by a lack of methods and procedures to issue driver licences. It was also established that a trend towards more sophisticated transport and traffic information systems was reinforced from 2010.

### **Develop standard operating procedures to issue driver licences**

With regard to the development of standard operating procedures to issue driver licences, unproductivity at the MM DLTC should be prevented to ensure continuous driver fitness related services. It was concluded that to inhibit unproductivity, innovative standardised procedures should be developed though collaboration among all role-players. Furthermore, it has been resolved that the exiting procedures must be revised and refined regularly for improvement and smooth implementation. Since the development of standard operating procedures as operational policy at grass-root level mirrors the complexities and multi-sphere nature of policy-making by national, provincial and local government authorities, the layout and design thereof should be simple, consistent and easy to read. The appearance, such as adequate margins, sectioning, numbering and font style, should be noted. Other general requirements include: instances in which specific steps need to be executed chronologically, these steps must be listed in sequential numbers. With regard to the remaining standard operating procedures identified in Chapter 5, it was concluded that these procedures

be developed according to the examples and the basic framework produced for the development of standard operating procedures.

### **Framework for the development of standard operating procedures**

This study examined interest in the discipline, Public Administration to utilise frameworks in which public policy implementation is more likely to succeed, and produced a framework for the development of standard operating procedures. A basic framework was produced, and it was concluded that it should comprise of a minimum of six phases, namely: procedure analysis, procedure formulation, procedure adoption, procedure implementation, procedure monitoring and evaluation, as well as feedback and review. The notion that a framework does not necessarily provide lengthy explanations but only describes critical elements by fitting them into a set of categories, is illustrated in Figure 7.1 above (*Schematic illustration of the framework for the development of standard operating procedures*). The integrated nature of the procedure development process is evident in the sum of the components included in the framework as well as by the relationships of the development phases and the control system.

In summary, there was a definite need for assistance with the implementation of public policy at operational level. An outcry for hands-on solutions directly applicable to their workplace was revealed by the participants at the MM DLTC. Against the historical perspectives described in the thesis, it was concluded that amidst the current reforms and searches for a 'new era' or new inventions in Public Administration, the significance of service delivery, specifically at the MM DLTC and at the local sphere of government, can no longer be overlooked. It is perhaps time to revert back to the foundation of public administration to meet the needs of society by providing basic public services at the local sphere of government. It is recommended that this notion be researched further at diverse government departments in South Africa. Additional recommendations follow below.

## **7.6 RECOMMENDATIONS**

The purpose of the research to provide recommendations of how to develop and implement standard operating procedures to issue driver licences, is realised in the following recommendations made to enhance the development and implementation of standard operating procedures at the MM DLTC in future.

### **Use and significance of standard operating procedures at the MM DLTC**

Actions executed at the DLTC are within a clear legal mandate and standard operating procedures can be used as a tool to legitimise relevant routine tasks. Unfortunately,

there is a lack of updated standardised procedures at the Centre, and the existing procedures does not comprise the full scope of the processes and tasks necessary to issue driver licences. Due to the benefit that the limited available procedures promotes consistency among the employees, it is recommended that the DLTC management representative conducts an analysis to determine which procedures are lacking. It can be beneficial to consult the outstanding procedures identified in Chapter 5. It is suggested that when updating and developing the procedures, the basic framework for the development of standard operating procedures included in this chapter is applied. It is further recommended that the set of newly developed standard operating procedures included in Chapter 5 be adopted, implemented and utilised as examples.

The DLTC staff admitted that standardised procedures offer certain advantages to the Centre, and results in effective utilisation of resources. It is interesting that the staff believes standardised procedures enhances teamwork at the office. It seems that groups of employees, such as the eNaTIS cashiers, work together as teams to accomplish their daily routines and duties. It was recommended that management guard against individual employees working in isolation as it may result in undetected deviation from standardised procedures. Furthermore, deviations from policy and procedures should not be allowed.

To improve service delivery at the Centre, management is encouraged to exploit the positive perception of the staff to ensure that standard operating procedures results in improved workflow in issuing driver licences as well as increased productivity. It is suggested that management focuses on the potential reliability of individual officials when implementing new methods and procedures. It is further recommended that the predictable nature of routine tasks and the consistency provided by standard procedures is used for effective planning. Moreover, the management representative should ensure that the procedure manuals are accessible for input by the staff, relevant authorities and other role-players.

### **Components of the MM DLTC's internal control system**

There is room for improvement in the guidelines for the implementation of internal control mechanism, due to insufficient instructions of how to implement the process. It is recommended that action be taken to impede the lack of monitoring and evaluation at the Centre. Another significant finding was that the internal control mechanisms at the MM DLTC are of poor quality. Therefore, the quality of the internal control mechanisms lack excellence. It is proposed that the DLTC management prioritise this concern and implement remedial action. Since the information and communication

channels are perceived effective, these available channels should be used to drive change and improvement in the implementation of internal control mechanism.

Authorisation and approval are protective control measures that protects an organisation against illegal and dishonest actions. It is recommended that authorisation and approval procedures be optimised to ensure that the resources are utilised effectively and efficiently. To be specific, it is suggested that the DLTC management accept full responsibility to monitor control-related policies and procedures to ensure that the institution's internal control system continues to function as intended. Furthermore, potential risks revealed by any of the internal control mechanisms must be monitored closely to ensure that it is corrected and resolved timeously.

Improved internal control can also be achieved by reviewing the risk assessment processes and risk management structures at the MM DLTC. It is, therefore, recommended that management invests in a total process to identify, assess, control and mitigate risks that may affect operations adversely at the Centre.

### **Challenges towards the implementation of standard operating procedures**

The institutional vision for effective driver fitness related services is met at the MM DLTC because the management representative and the supervisors are expected to closely monitor the activities of their sub-ordinates. Since both the manager and the supervisors are conducting their duties diligently and firmly, expectations set by the DLTC management were found to be fair and realistic. Unfortunately, a lack of understanding the short-term objectives of the MM DLTC exists. Furthermore, the DLTC officials are occasionally unwilling to implement new approaches to conduct functions. Deliberate attempts to obstruct accountability also occur occasionally. To limit resistance and encourage the promotion of accountability and transparency, it is recommended that the management and the staff at the Centre engage from the initial stages in the procedure development process. It is also recommended that clear steps and instructions of how to reach organisational short-term objectives be specified. The short-term objectives should be simplified and well-communicated to the staff.

### **Improving the implementation of standard operating procedures**

Overly complicated short-term objectives should be simplified so that it can be easily interpreted by the staff. However, the staff are not adequately skilled in financial, leadership and performance management. This lack of knowledge and skills may impede reaching of the objectives at the Centre. Training for staff in financial, leadership and performance management is thus recommended. Suitable facilitators

within the eNaTIS and licencing environment should be identified because of the DLTC official's specialised responsibilities.

Caution should be taken by the Madibeng Municipality against the implementation of an exceedingly multifaceted internal control system at its DLTC. Furthermore, based on the finding that providing feedback on new procedures is very complex, it is recommended that standardised procedures of how to acquire feedback on the procedures to issue driver licences, be developed and implemented by applying the proposed basic framework and essential elements for the development of standardised procedures.

### **Writing standard operating procedures**

The supervisors revealed that they would welcome new and innovative procedures to motivate the staff and to improve service delivery at the Centre. There is a need to update the procedures at the MM DLTC, but with detail thoughtfulness of the requirements of licensing and road traffic legislation that serves as the basis for the functioning of the eNaTIS system. It is recommended that the Centre's employees work collaboratively and as a team to review, update and develop the standard operating procedures. Furthermore, key role-players must be consulted to acquire relevant advice when needed. It is further recommended that the required equipment and resources be specified in the standard operating procedures due to the critical role of the eNaTIS system in the DLTC environment. The availability of physical facilities and equipment need to be considered when formulating policy on operational level. Furthermore, after the procedures are reviewed for quality and accuracy, proper approval processes must be adhered for the actual official acceptance thereof.

It is also recommended that established ways of completing tasks be reviewed, new and creative ideas be strengthened and appropriate behaviour among officials is encouraged within the legislated framework. It is recommended that the fundamental elements of procedure development, namely: procedure analysis, procedure formulation, procedure adoption, procedure implementation, procedure monitoring and evaluation, as well as feedback and review, be incorporated in the procedure review and development processes. This implies that the basic framework for the development of standard operating procedures illustrated in Chapter 7, Figure 7.1 (*Schematic illustration of the framework for the development of standard operating procedures*), should be applied at the MM DLTC.

## 7.7 LIMITATIONS OF THE RESEARCH

This study dealt with determining and revision of methods and procedures as an administrative function within the South African context, and specifically related to the issuing of driver licences by the Madibeng Municipality. It was assumed that effective development and implementation of standard operating procedures to issue driver licences would ensure that these are issued as intended per legislation. This would result in minimising problems experienced by the MM DLTC. The purpose was, therefore, to make proposals of how to develop and implement standard operating procedures to issue driver licences. It became clear that there are many aspects that influence the determining and revision of methods and procedures. Aspects, such as a lack of understanding objectives, rigid control mechanisms, unrealistic expectations, deliberate attempts to obstruct accountability and transparency and insufficient knowledge of the workflow and tasks to be performed, influence policy and procedure development and implementation at operational level. Furthermore, the development and implementation of standard operating procedures cannot be successful when key underpinnings of public administration, such as the supremacy of the Constitution of 1996, rule of law, accountability, transparency and public participation is not honoured. It is, therefore, prudent to acknowledge the pitfalls associated with this case study.

This study focused primarily on determining and revision of methods and procedures at the local sphere of government. The utilisation of standardised procedures at the national and provincial spheres of government requires further research to contribute towards growing the body of knowledge. As stated in Chapter 5, section 5.2 (*Background information*), no input was received from one of the primary role-players in the driver licence environment, namely: the Inspectorate of DLTCs. The only input received was advice to use the NRTA of 1996 and the NRTRs as amended as a basis for the development of the standard operating procedures. This shortcoming was alleviated by collecting data from the entire population at the MM DLTC and including the staff at the Centre from all occupational groups, namely: the management representative, supervisors, front-line employees, eNaTIS cashiers as well as the examiners for driver licences, in the empirical research. Despite the listed challenges, the primary limitation of the study was that the findings of the empirical study only apply to the Madibeng Municipality and cannot be generalised to another municipality.

## 7.8 AREAS OF FURTHER STUDY

There are many aspects that must be scientifically researched to provide further clarity of public policy and procedure development and implementation in Public Administration. Hence, the following proposals are recommended:

- Explore the implementation of the newly developed set of standard operating procedures of issuing driver licences at the MM DLTC.
- Duplication of this study at DLTCs in other provinces prior to generalisation of these research results to all DLTCs in South Africa.
- Conducting the same study on driver licence testing centres in Namibia before generalising the current findings internationally.
- Further research the outsourcing of transport and licensing legislation to agencies of the Department of Transport, such as the Cross-Border Road Transport Agency (CBRTA), the Passenger Rail Agency of South Africa (Prasa) and the South African National Roads Agency (Sanral).
- Investigate fraud and corruption in the issuing of driver licences which critically affects the implementation of the NRTA of 1996.
- Research the bottom-up and evidence-based policy-making approach in public institutions in South Africa and internationally.

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## APPENDIXES

### APPENDIX A: Ethics clearance approval

	
<b>DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT RESEARCH ETHICS REVIEW COMMITTEE</b>	
Date: 24 March 2016	Ref #: PAM/2016/003 (Alers) Name of applicant: Ms C Alers Student #: 49087622
Dear Ms C Alers	
<b>Decision: Ethics Clearance Approval</b>	
<b>Name:</b> Ms C Alers, <a href="mailto:alersc@unisa.ac.za">alersc@unisa.ac.za</a> , tel: 012 4296286 <i>[Supervisor: Prof DJ Brynard, 012 429 6393, <a href="mailto:brynardj@unisa.ac.za">brynardj@unisa.ac.za</a>]</i> <b>Research project:</b> The development and implementation of methods and procedures of issuing drivers licences in the Madibeng Local Municipality: <b>Qualification:</b> DPA	
<p>Thank you for the application for <b>research ethics clearance</b> by the Department: Public Administration and Management: Research Ethics Review Committee for the above mentioned research. Final approval is granted for the duration of the project on the <b>condition</b> that letters from (1) the Madibeng Local Municipality, and (2) the Department of Transport, in which permission is granted to you to do this research in their respective areas, are submitted to this Ethics Committee within <b>30 days</b> of the date of this letter.</p> <p>The decision will be tabled at the next College RERC meeting for notification/ratification.</p> <hr/> <p><b>For full approval:</b> The application was reviewed in compliance with the Unisa Policy on Research Ethics by the RERC on 17 March 2016. The proposed research may now commence with the proviso that:</p> <ol style="list-style-type: none"><li>1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.</li><li>2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.</li><li>3) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.</li></ol>	
Kind regards  <b>Prof Mike van Heerden</b> Chairperson: Research Ethics Review Committee <a href="mailto:vheerm@unisa.ac.za">vheerm@unisa.ac.za</a>	 <b>Prof MT Mogale</b> Executive Dean: CEMS
<p>University of South Africa Preller Street, Muckleneuk Ridge, City of Tshwane PO Box 392 UNISA 0003 South Africa Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150 <a href="http://www.unisa.ac.za">www.unisa.ac.za</a></p>	

## APPENDIX B: Permission letter from the Madibeng Municipality



# Local Municipality of Madibeng

P O Box 106  
BRITS  
0250  
Tel: (012) 318 9100  
Fax: (012) 318 9203  
email:  
madibeng@icon.co.za

Reference	1/15
Contact Person	ML LELAKA

Civic Centre 53 Van Velden Street BRITS
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29 July 2016

Ms. Corlia Alers  
Unisa  
Pretoria

Madam

### REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT THE DRIVING LICENCE TESTING CENTRE OF THE MADIBENG LOCAL MUNICIPALITY

It is my pleasure to inform you that your request to conduct a research at our DLTC has been granted.

You are free to commence at any reasonable time.

Thanking you in anticipation.

Regards

  
For The Acting Municipal Manager



Local Municipality of  
**Madibeng**

P O Box 106  
BRITS  
0250  
Tel: (012) 318 9100  
Fax: (012) 318 9203  
email:  
madibeng@icon.co.za

Reference	1/15
Contact Person	ML LELAKA

Civic Centre  
53 Van Velden Street  
BRITS

13 July 2016

MR. ME MANAKA  
ACTING MUNICIPAL MANAGER

SIR

**REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT THE DRIVING  
LICENCE TESTING CENTRE OF THE MADIBENG LOCAL MUNICIPALITY**

We have received a letter from Ms. Corlia Alers dated 31<sup>st</sup> March 2016, requesting permission to conduct a research at our DLTC, aiming at making proposals on how to develop and implement methods and procedures of issuing drivers licenses.

As part of educational program we don't have any problem in allowing Ms. Alers to conduct a research at our centre and we also hope this will benefit the Municipality.

Thanking you in anticipation.

Regards

  
P Dilinga  
Acting Director PSFFM

Approved/ Disapproved

  
ME MANAKA  
Acting Municipal Manager



## APPENDIX C: Participant information leaflet

23 September 2016

### Dear Prospective Participant

My name is Ms Corlia Alers conducting research under the supervision of Prof DJ Brynard, a Professor in the Department of Public Administration and Management, towards a Doctor's Degree at the University of South Africa. We are inviting you to participate in a study entitled: '*The development and implementation of methods and procedures of issuing driver's licences in the Madibeng Municipality*'.

### WHAT IS THE AIM OF THE STUDY?

The aim of this study is to present proposals of how to develop and implement methods and procedures to issue driver's licences at the Madibeng Municipality.

### WHY AM I BEING INVITED TO PARTICIPATE?

The researcher forwarded a letter to the Madibeng Municipality to request permission to interview you and/or request you to complete a questionnaire. Approval has been granted and the permission letter is available on request.

- The target population for the questionnaire will comprise of a maximum of 56 staff members from the Driving Licence Testing Centre at the Madibeng Municipality.
- The target population for the interviews will comprise a maximum of four (4) managers and/or supervisors from the DLTC.

### WHAT IS THE NATURE OF MY PARTICIPATION IN THIS STUDY?

Data will be gathered through a questionnaire and personal interviews. The questionnaire will be distributed at the Madibeng Municipal offices and the interviews will be conducted at a time and place convenient to you (preferably your workplace). You will be targeted for either an interview or to complete a questionnaire:

- It will take approximately 30 to 40 minutes to complete the questionnaire. The survey will comprise of a set of statements which you will be requested to rate.
- The interviews will last approximately 40 to 50 minutes. You will be requested to elaborate on various ways to ensure successful implementation of methods and procedures of issuing driver's licences.

**CAN I WITHDRAW FROM THIS STUDY EVEN AFTER HAVING AGREED TO PARTICIPATE?**

Participating in this study is voluntary and you are under no obligation to consent to participation. If you do decide to participate, you will be given this information sheet to keep and requested to sign a written consent form.

You are free to withdraw at any time and without providing a reason.

**WHAT ARE THE POTENTIAL BENEFITS OF PARTICIPATING IN THIS STUDY?**

Based on the assumption that the same legal framework regulates the issuing of driver's licences at all Driving Licence Testing Centres, whilst considering provincial legislation, best practices at the Madibeng Municipality may be generalised to all Driving Licence Testing Centres throughout South Africa.

**ARE THERE ANY NEGATIVE CONSEQUENCES FOR ME IF I PARTICIPATE IN THE RESEARCH PROJECT?**

I do not anticipate any undue risks for Unisa, the Madibeng Municipality or the individual participants who participate in the study. The privacy of each participant will be protected by removing identifying information in the dissemination of the findings of this study.

**WILL THE INFORMATION THAT I CONVEY TO THE RESEARCHER AND MY IDENTITY BE KEPT CONFIDENTIAL?**

You have the right to insist that your name is not recorded and that no one, apart from the researcher and identified members of the research team, will know of your involvement in this study.

Your responses may be reviewed by persons responsible to ensure that research is conducted properly, including the statistician, transcriber and members of the Research Ethics Review Committee. Moreover, records that identify you will be available only to persons working on the study, unless you grant permission for others to see the records.

Your anonymous data may be used for other purposes, such as a research report, journal articles and conference proceedings. A report of the study may be submitted for publication, but individual participants will not be identifiable in such a report. Please keep in mind that occasionally, it is impossible to provide absolute guarantee of confidentiality or anonymity, e.g. when interviews or questionnaires are used as a data collection method.

### **HOW WILL THE RESEARCHER(S) PROTECT THE SECURITY OF DATA?**

Hard copies of your responses will be stored by the researcher for a period of five years in a locked cupboard/filing cabinet in a locked office for future research or academic purposes; and electronic information will be stored on a password protected computer. Future utilisation of the stored data will be subject to further Research Ethics Review and approval if applicable. After five years, hard copies will be shredded and electronic copies will be permanently deleted from the hard drive of the computer through the use of a relevant software programme.

### **WILL I RECEIVE PAYMENT OR ANY INCENTIVES FOR PARTICIPATING IN THIS STUDY?**

You will not receive any payment or reward, financial or otherwise. The study will not incur undue costs to you.

### **HAS THE STUDY RECEIVED ETHICS APPROVAL**

This study has received written approval from the Research Ethics Review Committee of the Department of Public Administration and Management, Unisa. A copy of the approval letter can be acquired from the researcher if you so wish.

### **HOW WILL I BE INFORMED OF THE FINDINGS/RESULTS OF THE RESEARCH?**

If you would like to be informed of the final research findings, please contact Ms Alers on (012) 429-6286, or via email at [alersc@unisa.ac.za](mailto:alersc@unisa.ac.za). The thesis will be available at the Unisa library. A copy of the thesis will also be submitted to the Madibeng Municipality, who may make available a copy to the participants. Should you have concerns of the manner in which the research is conducted, you may contact my supervisor, Prof DJ Brynard, at 012 429-6393 or via email at [Brynadj@unisa.ac.za](mailto:Brynadj@unisa.ac.za). Alternatively, contact the research ethics chairperson of the Department of Public Administration and Management, Unisa, Professor M van Heerden, on 012 429-6749 or via email at [vheerm@unisa.ac.za](mailto:vheerm@unisa.ac.za).

Thank you for taking time to read this information sheet and for participating in this study.

Yours sincerely



Ms Corlia Alers  
**STUDENT**



Prof DJ Brynard  
**SUPERVISOR**

## APPENDIX D: Informed consent form

### CONSENT TO PARTICIPATE IN THE RESEARCH

#### Research Title:

#### **The development and implementation of methods and procedures of issuing driver's licences in the Madibeng Municipality**

I, ..... (participant name and surname), confirm that the person asking my consent to take part in this study has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation.

- I have read and understood the study as explained in the participant information sheet.
- I have had sufficient opportunity to ask questions and prepared to participate in the study.
- I understand that my participation is voluntary and that I am free to withdraw at any time without penalty.
- I am aware that the findings of this study will be anonymously processed into a dissertation.
- I agree to complete the questionnaire and/or to be interviewed.

\_\_\_\_\_  
Participant's name and surname

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Ms Corlia Alers

\_\_\_\_\_  
7 Febr. 2017

\_\_\_\_\_  
*Alers*

\_\_\_\_\_  
Researcher's name and surname

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

## APPENDIX E: Confidentiality agreement with transcriber/statistician

### CONFIDENTIALITY CLAUSE BETWEEN

RESEARCHER: \_\_\_\_\_

AND

TRANSCRIBER / STATISTICIAN: \_\_\_\_\_

#### Research Title:

**The development and implementation of methods and procedures of  
issuing drivers licences in the Madibeng Municipality**

The Unisa research code of ethics requires that confidentiality should be maintained throughout data collection, data analysis and reporting.

As a transcriber/statistician, I understand that I have access to confidential information. By signing this statement, I am indicating my understanding of this responsibility and agree to the following:

- I understand that all information obtained or accessed by me in the course of my work is confidential. I agree not to divulge or otherwise make known to unauthorised persons any of this information, unless specifically authorised to do so.
- I understand that names and any other identifying information about study sites and participants are completely confidential.
- I agree to use the data solely for the purpose stipulated by the researcher.
- I agree to maintain the confidentiality of the data at all times and keep the data in secure, password protected location.
- I agree to shred all hard copies of data in my possession on completion of the project. All electronic copies will be permanently deleted from the hard drive of my computer upon completion of this project.

\_\_\_\_\_  
Name and Surname  
(Transcriber /  
Statistician)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Ms Corlia Alers  
(Researcher)

\_\_\_\_\_  
31 March 2017  
Date

\_\_\_\_\_  
  
Signature

## APPENDIX F: Checklists

### Checklist: Internal control mechanisms at the MM DLTC

INTERNAL CONTROL MECHANISM		Implemented at MM DLTC?		COMMENT
		Yes	No	
1	Organisational structure Copy received	✓		
2	Segregation of duties	✓		
3	Written policies and procedures Operational level	✓		
4	Physical and mechanical control	✓		
5	Authorisation and approval	✓		
6	Accounting controls: Cashiering and balancing	✓		
7	Training of staff	✓		
8	Supervision	✓		
9	Management	✓		
10	Information and communications technology: eNaTIS	✓		

**Checklist:** Issuing of learner's licence, driver's licence and professional driving permit

FORM	LEARNER'S LICENCE		DRIVING LICENCE				PROFES- SIONAL DRIVING PERMIT
	New	Dupli- cate	New	Renew- al	Dupli- cate	Tem- porary	
LL1	✓	✓					
DL1			✓	✓	✓	✓	
DCT form/affidavit		✓			✓		
LL2			✓			If required	
PD1							✓
Driving licence card				✓			✓
RSA ID	✓	✓	✓	✓	✓	✓	✓
Photographs	✓	✓	✓	✓	✓	✓	✓
Medical certificate (MC)	If required		If required				✓
Eye test on ICS	✓	✓	✓	✓	✓	✓	✓
Optometrist eye test certificate	If required		If required		If required		If required
SAPS clearance							✓
ISS, only when image capturing system (ICS) is not functioning			✓	✓	✓		✓

## APPENDIX G: Questionnaire

A questionnaire to determine and revise standard operating procedures for the issuing of driver's licences at the Driving Licence Testing Centre of the Madibeng Municipality.

### GENERAL INFORMATION

1. This questionnaire is based on research of how to develop and implement standard operating procedures for the issuing of driver's licences at the Driving Licence Testing Centre of the Madibeng Municipality.
2. You have been invited to participate in this study because of your extensive experience of the topic.
3. You are kindly requested to complete this questionnaire as honestly and completely as possible.
4. The questionnaire has been compiled in a manner that it would take a maximum of 30 minutes to complete.
5. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
6. No one will be able to connect you to the answers you give. Please separate your participation consent form from the list of questions.
7. The information collected from you will be treated with strict confidentiality and used for research purposes only.
8. You have the right to withdraw your participation at any time. Hence, your participation is considered voluntarily.
9. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
10. The survey data will be stored in a locked cupboard and the data in a computer which will be protected by a password.
11. The survey data will be destroyed when it is no longer of functional value (after five years).
12. A copy of the thesis will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria.
13. **Section A** comprises of four questions relating to the general demographic profile of the participants.
14. Each of the other sections (**Section B, C, D, E and F**) comprises of five questions of which each is expressed as a statement with response points. The last question requests additional information that you need to provide.



**Section A:**  
**Biographical information**

**Question A1: Gender**

A1.1	Female	
A1.2	Male	

**Question A2: Please indicate your age group**

A2.1	20 – 29	
A2.2	30 – 39	
A2.3	40 – 49	
A2.4	50 – 59	
A2.5	60 – 65	

**Question A3:**  
**How long have you been employed at the MM DLTC?**

A3.1	0 – 5 years	
A3.2	6 – 10 years	
A3.3	11 – 15 years	
A3.4	16 – 21 years	
A3.5	22 years and more	

**Question A4: Please indicate your occupational category**

A4.1	Management representatives	
A4.2	DLTC supervisors	
A4.3	DLTC front-line employees	
A4.4	eNaTIS cashiers	
A4.5	Examiners for driving licences	

**Section B:**  
**Use and significance of standard operating procedures**

This section deals with your opinion of the significance of determining and revising methods and procedures (including standard operating procedures).

**Instructions:**

It is expected of you to evaluate each of the statements and indicate to what extent you **agree or disagree** with each statement by placing a cross (X) in the selected box.

There is no right or wrong answer. Tick only one option.

Question number	Statement	1	2	3	4	5
		Strongly disagree	Disagree	Neutral	Agree	Strongly agree
B1	Standard operating procedures ensure consistency in the actions of employees towards the accomplishment of a task(s).					
B2	Standard operating procedures promote better utilisation of resources.					
B3	Standard operating procedures improve the workflow and increase productivity.					
B4	Standard operating procedures ensure that everyone works together as a team to achieve the objectives.					
B5	Standard operating procedures ensure reliability in the behaviour of individual officials.					

## Section C: Components of an internal control system

This section deals with your opinion of the quality of the components that need to be considered when designing an internal control system and internal control mechanisms.

### Instructions:

When making your choice, consider whether the components fit for purpose and conforms to the requirements and minimum standards. It is expected of you to evaluate each of the statements and indicate the **quality** of each of the following components by placing a cross (X) in the selected box. Note that the options **Quality is very poor** and **Quality is poor** implies that the quality of the control mechanisms is bad.

There is no right or wrong answer. Tick only one option.

Question number	Statement	1	2	3	4	5
		Quality is very poor	Quality is poor	Quality is acceptable	Quality is good	Quality is very good
C1	Guidelines and minimum standards for the implementation of internal control mechanisms.					
C2	Risk assessment processes and risk management structures.					
C3	Control mechanisms, such as policies, balancing procedures and supervision, that ensure that management's directives are executed.					
C4	Information and communication channels are clear and accessible by all employees.					
C5	Monitoring and evaluation conducted by management to assess the internal control system.					

**Section D:**  
**Challenges towards the implementation of standard operating procedures**

This section deals with your opinion of how frequently the listed challenges towards the implementation of standard operating procedures and other internal control mechanisms, such as policies, balancing procedures and supervision.

**Instructions:**

It is expected of you to evaluate each of the statements and indicate **how frequently** the following features influence the implementation of internal control mechanisms, by placing a cross (X) in the selected box.

There is no right or wrong answer. Tick only one option.

Question number	Statement	1	2	3	4	5
		Never	Very rarely	Occasionally	Frequently	Very frequently
D1	Rigid and unyielding supervision.					
D2	Lack of understanding objectives that should be met.					
D3	Unrealistic expectations set by management.					
D4	Deliberate attempts to obstruct or prevent accountability.					
D5	Resistance to implement standard operating procedures.					

**Section E:**  
**Improving the implementation of procedures and internal control mechanisms**

This section deals with your opinion of the complexity of improving the implementation of standard operating procedures and other internal control mechanisms.

**Instructions:**

It is expected of you to evaluate each of the statements by considering the **complexity of the resources and time** needed to implement each statement. Place a cross (X) in the selected box.

There is no right or wrong answer. Tick only one option.

Question number	Statement	1	2	3	4	5
		Not complex at all	Of limited complexity	Moderately complex	Very complex	Extremely complex
E1	Identifying and analysing organisational objectives.					
E2	Comparing actual performances with set objectives in legislation and policies.					
E3	Evaluating internal control in the areas of financial, leadership and performance management.					
E4	Providing timeous feedback on newly accepted procedures.					
E5	Identifying and addressing shortcomings in the current internal control system.					

**Section F:**  
**Writing standard operating procedures**

This section deals with your opinion of how significant certain features and documents are when writing standard operating procedures.

**Instructions:**

It is expected of you to evaluate each of the statements and indicate the **significance** of the following elements and processes when writing standard operating procedures by placing a cross (X) in the selected box.

There is no right or wrong answer. Tick only one option.

Question number	Statement	1	2	3	4	5
		Not important at all	Of limited importance	Somewhat important	Very important	Extremely important
F1	Finding new and innovative methods and procedures of performing tasks.					
F2	Having knowledge of the existing workflow and organisational structure.					
F3	Identifying necessary equipment and resources to complete a task.					
F4	Seeking teamwork during the development of standard operating procedures.					
F5	Following approval processes when developing standard operating procedures.					

Thank you for your participation and your effort towards making this study a success. Your valuable contribution will assist me to generate a comprehensive understanding of how to develop and implement methods and procedures to issue driver's licences at the Madibeng Municipality.

## APPENDIX H: Lists of interview questions

A personal interview to research the determination and revision of standard operating procedures for issuing driver's licences at the Driving Licence Testing Centre of the Madibeng Municipality.

### GENERAL INFORMATION

1. This interview is based on research of how to develop and implement standard operating procedures for issuing driver's licences at the Driving Licence Testing Centre of the Madibeng Municipality.
2. You have been invited to participate in this study because of your extensive experience of the topic.
3. You are kindly requested to respond to the interview questions as honestly and completely as possible.
4. The interview will take approximately 45 minutes.
5. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
6. No one will be able to connect you to the responses you provide. Please separate your participation consent form from the list of questions.
7. The information collected from you will be treated with strict confidentiality and used for research purposes only.
8. You have the right to withdraw your participation at any time. Hence, your participation is considered voluntarily.
9. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
10. The survey data will be stored in a locked cupboard and the data in a computer which will be protected by a password.
11. The survey data will be destroyed when it is no longer of functional value (after five years).
12. A copy of the thesis will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria.
13. Section A comprises of four questions relating to the general demographic profile of the participants that you need to respond to by placing a cross (X) in the selected box.
14. Section B comprises of the questions that you need to elaborate on in detail. There is no right or wrong answer.

**Section A:**  
**Biographical information**

**Question A1: Gender**

A1.1	Female	
A1.2	Male	

**Question A2: Please indicate your age group**

A2.1	20 – 29	
A2.2	30 – 39	
A2.3	40 – 49	
A2.4	50 – 59	
A2.5	60 – 65	

**Question A3:**  
**How long have you been employed at the MM DLTC?**

A3.1	0 – 5 years	
A3.2	6 – 10 years	
A3.3	11 – 15 years	
A3.4	16 – 21 years	
A3.5	22 years and more	

**Question A4: Please indicate your occupational category**

A4.1	Management representatives	
A4.2	DLTC supervisors	



**Section B:**  
**Interview schedule: DLTC manager**

**INTERVIEW QUESTIONS: DLTC MANAGEMENT**

1	Please elaborate on the significance and advantages of utilising standard operating procedures at the DLTC.
2	Why is teamwork promoted through the implementation of standard operating procedures, while standard operating procedures does not significantly affect the behaviour of individual staff members?
3	Please elaborate on the implemented internal control mechanisms at the DLTC.
4	Please explain how monitoring and evaluation is undertaken to assess the internal control system at the Centre.
5	It seems from the responses to the questionnaire that the employees do not understand the objectives of the Centre. Do you agree with this finding?
6	Would you say that there is resistance towards the implementation of standard operating procedures at the DLTC, and if so, please elaborate on the reasons?
7	How would you improve the feedback process of the current standard operating procedures at the Centre, specifically feedback from examiners for driver licences?
8	How would you manage the writing and implementation of new and innovative ways of performing routine tasks at the Centre?

**Section B:**  
**Interview schedule: DLTC supervisor**

**INTERVIEW QUESTIONS: DLTC SUPERVISORS**

1	Are you convinced that standard operating procedures can be utilised to increase productivity and if so, please explain how you would go about using the procedures to improve the workflow at the DLTC?
2	Please elaborate on the quality of the guidelines for the implementation of internal control at the DLTC.
3	Is there reference to policy documents/ records in the standard operating procedures? If not, is there a need to include a list of the relevant policy documents in standardised procedures?
4	How do you fulfil your role as supervisor at the MM DLTC?
5	How would you improve the implementation of standard operating procedures and other internal control mechanisms at the DLTC?
6	Would it be possible to introduce and implement new and innovative ways of performing routine tasks at the Centre?

Thank you for your participation and your effort towards making this study a success.

Your valuable contribution will assist me to generate a comprehensive understanding of how to develop and implement methods and procedures in issuing driver's licences at the Madibeng Municipality.