



# ANALYSIS OF PUBLIC SECTOR INNOVATION IN THE IMPLEMENTATION OF BATHO PELE PRINCIPLES TO OVERCOME DIFFICULTIES

**Liberty Chidziwa, Vuyani Langa, Sunungukai Mabhera**  
**Researcher, Dr**  
**BlackStallions Research Academy**  
**University of FortHare**

## ABSTRACT

Governance is the degree to which statutory requirements, policy directives, and service delivery are carried out. Government programs should be focused on enhancing the quality of life in the pursuit of a "better living for all" to realise the aim of improving a society's overall welfare. Service delivery is emphasised in the type of public administration South Africa envisions, as stated in Section 195 of the Constitution, leading to developing the Batho Pele principles as a guide to improve service delivery. These themes are further explained in the White Paper on Transformation of Public Service Delivery from 1997. The notion of public sector innovation is presented in this review paper as a solution to the problems associated with the partial or non-implementation of the Batho Pele principles in the South African public service sector context. Eight principles were outlined in the White Paper on Public Sector Transformation, with the last three of the Batho Pele Principles and the people's first slogan receiving the most attention. A thorough literature study was conducted, and various research materials, including articles, journals, and books, were chosen. The review's findings point to differences and inconsistencies in how the Batho principles are applied throughout South Africa's many governmental areas.

**Key Words: Public Sector innovation, Service Delivery, Batho Pele Principles, Accountability**

## 1.0 INTRODUCTION

While it is becoming increasingly clear that much innovation occurs in the public sector, it is also becoming clear that more systematic efforts to promote innovation will be required to maintain high levels of public service delivery and help address the economic and societal challenges that public sectors face. Public sector innovation is a new management paradigm for politicians, managers, public administration, businesses, and ordinary individuals (Sorensen and Torfing 2011). Bekkers, Edelenbos, and Starjn (2022) perceive a "milieu of innovation" in public sector management, with organisations sharing and disseminating ideas as part of the co-creation and collaboration process. Regarding public sector service delivery, several ideas, such as public sector logic, interact with service innovation (Sunderkov and Ronning 2021). This, in turn, will improve service delivery and ensure sound public administration (Osborne 2018). According to Klijn and Koppenjan (2015), leadership is critical in applying the Batho Pele Principles in South African public sector management. In South Africa, service delivery is incorporated as a constitutional obligation in the Bill of Rights, the cornerstone of South African democracy that emphasises several rights, including people's right to receive services. The White Paper on Transformation of Public Service Delivery (1997), widely known as the 'Batho Pele White Paper,' helped to advance this constitutional mandate and transformation goal. The White Paper outlines eight principles, eventually expanded to eleven as a template for seamless service delivery. The purpose of the principles includes:

- Transforming Service Delivery in the Public Service
- Enhance Service Excellence
- Implementing and integrating the Batho Pele principles within and across government

This study delves further into the utilisation of these principles as facilitators of enhanced service delivery, as well as the potential of public sector innovation in achieving this objective. In order to ascertain the veracity of the impact and extent of public sector innovation in the application of the Batho Pele principles, a comprehensive examination of relevant literature was conducted. In the following section of the paper, a comprehensive examination of scholarly sources pertaining to public sector innovation and implementing the Batho Pele principles was undertaken. The review aimed to summarise existing knowledge, highlight pertinent theories, and identify any deficiencies in current research and literature.

## 2.0 LITERATURE REVIEW

### 2.1 Public Sector Innovation

Cities and their geographical qualities have a crucial influence in economic development, making them a central focus for legislators attempting to better their economies through innovative means. In contrast, public sector innovation refers to a holistic strategy towards fostering creativity, involving utilising distinct concepts and approaches by public management to accomplish their goals. According to Lynn (1997), innovation within the government context pertains to introducing creative and disruptive changes that fundamentally transform an

organization's basic tasks. The concept of efficiency and effectiveness-based innovation in contemporary organisations was popularised by Drucker (2006). According to Mulgan (2007), public sector innovation pertains to developing new ideas that yield public benefit, focusing on originality, implementation, and practicality rather than mere enhancements. Furthermore, one could posit that implementing the Batho Pele principles has brought forth a novel aspect inside the South African framework, entwining it with the notion of innovation in the public sector. As a result, the article treats these two concepts as indivisible. There has been an increasing scholarly and practical focus on the topic of public sector innovation, as demonstrated by the research conducted by Osborne and Brown (2011) and Walker (2014). Numerous academics and professionals argue that the integration of innovation into public services can have a substantial positive impact on the overall quality of these services. Additionally, it can strengthen governmental organisations' problem-solving capabilities when addressing various social challenges (Damanpour and Schneider 2009). Therefore, the present study explores the significance of public sector innovation in addressing obstacles associated with the execution of Batho Pele principles, acknowledging their pivotal role as catalysts for innovation within the public service.

## 2.2 Batho Pele Principles

The Batho Pele principles serve as fundamental tenets of customer service within the South African government, as noted by Mpehle (2020). The Batho Pele principles, as outlined in the White Paper (1997), constitute the fundamental policy guidelines for managing and delivering public sector services in South Africa. Pierson (2021) asserts that their primary objective is to enhance service delivery outcomes and bring about a transformative shift in implementing public sector management. According to the White Paper on Transforming Public Service Delivery (WPTPSD), successfully implementing the "customers first" approach in service delivery necessitates adherence to eleven fundamental principles. These encompass a variety of elements.

- **Consultation** – Citizens should be consulted about the level and quality of the public service they will receive and wherever possible should be given a chance about service that are affected.
- **Setting service standard:** Citizen should be told what level of quality of public service they will receive so that they are aware of what to expect
- **Increasing Access-** all Citizen should have equal access to the service to which they are entitled
- **Ensuring courtesy** –Citizens should be treated with courtesy and consideration
- **Providing information** – Citizens should be given accurate information about public services they are entitled to receive.
- **Openness and transparency-** Citizens should be told has national and provincial department are run how much they cost and who is in charge
- **Redress** – if the promised standard is not delivered, citizens should be offered an apology a full explanation, speedy and effective remedy and when complains are made, citizens should receive a sympathetic positive response.
- **Value of money** – Public services should be provided comically and efficiently warder to give citizens the best possible value for money

- **Encouraging innovation and rewarding excellent.** Innovation can be new ways of proceedings better service, cutting costs, improving conditions, streamlining and generally making changes which tie in the spirit of Batho Pele'. It is about regarding the staff who "go to the extra mile" in making it all happen.
- **Customer Impact:** Impact means looking at the benefits we have provided for our customers both internal and external- It is how the nine principles link together to show how we have informed our unreal service delivery and customer satisfaction.
- **Leadership and Strategic Direction.** Good leadership is one of the most critical ingredients for successful organisations. Organisations who do well in servicing their customers can demonstrate that they have leaders who lead by example will set the vision and ensure that the strategy for achieving the vision is owned by all and properly deployed throughout the organisation.

### 2.3 Public sector innovation and public policy Implementation dilemma

Drucker (2006) asserts that business innovation can be evaluated based on the criteria of effectiveness and efficiency. Additionally, the attainment of anticipated outcomes and objectives is widely seen as a crucial measure of the effectiveness of public policy (Nel Van Dyk, Haasbroek, Scultzs Sonor, & Werner, 2011). According to Mkgoba (2006), the assessment of public service delivery or implementation occurs at the lowest level of governance to ascertain the extent to which customer needs are fulfilled. The absence of essential staff has hindered the development of the South African public sector, as stated by the WDTSPD (1997). This is supported by the comprehensive list of important skills identified in the business and governmental sectors, as outlined in the SABPP Report of 2014. Schwella and Rossou (2005), on the other hand, advocate for a favourable response in the implementation of public services given in various government sectors. The Batho Pele principles, as a whole, are a dynamic endeavour that seeks to enhance the provision of public services. Sibongile (2014) posits that the establishment of the WPTPSD aimed to enhance the efficiency of various public services by focusing on delivering high-quality services. The researchers observe a phenomenon referred to as a "paper dragon" and a "policy creating genius" characterised by a deficiency in practical inventiveness when it comes to implementing policies inside the public sector divide in South Africa. The Zondo Commission of Inquiry has lately asserted that many public officials have been implicated in acts of corruption, forming a complex network of corrupt practices, as disclosed in the Director General Report of 2022 (Zondos, 2022). In addition, the National Development Plan (2015) brought attention to the three prominent challenges faced by South Africa's population: unemployment, inequality, and poverty. Corruption is evidently a prominent issue within the public sector corruption domain, exemplified by instances such as the misappropriation of substantial funds from PRASA Denel, VBS, Bossasa, and the involvement of other officials in financial scandals. Consequently, there remains a significant amount of work to be undertaken in the realm of public sector innovation concerning combating corruption and discouraging the implementation of Batho Pele principles.

Moreover, Sunderkov and Roning (2021) developed a conceptual framework called the Public Service Logic, which is based on the theoretical underpinnings of the Service Dominance Logic (Rodgers et al., 2019).

According to Groonros and Voima (2013), the actualization of value creation by the public sector is significantly divergent from the prevailing perception. According to Hard and Dixon (2015), the Public Sector Logic has failed to bring the anticipated advances in terms of innovation inside the public sector. The present study partially implements the Batho Pele concepts, akin to an application.

Furthermore, according to Baptisa (2019), incorporating co-creation is considered crucial in the context of Batho Pele principles and any innovation paradigm. The authors (Sonderkov et al., 2021) posit a comparable notion, asserting that each hybrid technique entails advantages and disadvantages in the context of incorporating novel concepts. It is important for an implementation model to transform the bureaucratic structure into a hybrid adhocracy paradigm (Mintzeberg (1997, Martela (2019)). In addition, Pourrezzat (2016) concurred that implementing necessary organisational innovation remains distant.

### **3.0 THEORETICAL FRAMEWORK**

#### **3.1 Rate of adoption as an underpinning theory**

Since Batho Pele's principles are one of the main forces driving innovation in the public sector, this paper's central argument centres on how the public sector may overcome obstacles to their implementation. This paper underpins itself with the rate of adoption theory; according to the theory of rate of adoption, an s-curve on a graph is the most effective way to depict the adoption of innovations. For this paper, an S-Curve graph is a project management tool that enables the tracking of a project's aspect's progress over time. It can keep track of the project's cost, labour hours, person-hours, or any other significant project aspect. These resources are plotted against time in the S-Curve graph. According to the hypothesis, early adoption of an innovation happens gradually and slowly. After that, it will have a period of tremendous expansion that will gradually taper down, become stable, and fall (Rogers, 1995). Other representations are suggested by the Bass model (Robert-Ribes & Wing, 2004). Time is yet another important factor. It is believed that innovations spread through time and space. In three primary ways, time has been found to be important for the spread of inventions (Rogers & Scott, 1997). First, it is believed that adopting an invention is a mental process that develops through time, beginning with initial awareness and information about the innovation and ending with an attitude toward it. This affects the choice of accepting or rejecting the invention. Second, different parts of the social system have different adoption rates for people. This begins out slowly, with only a small percentage of people accepting the invention, but it picks up speed over time until enough people have embraced it that the rate of adoption becomes self-sustaining. Thirdly, the relative pace at which individuals within a social system adopt innovations depends on the passage of time. This is often measured as the number of members of the system that adopt the innovation in a given time period such as the Batho Pele principles.

### **4.0 RESULTS AND DISCUSSION**

The study conducted analyses on a total of 25 scholarly papers and books pertaining to the subject of service innovation and its subsequent implementation. Presented below is a concise overview of the conclusions derived from the existing body of literature.

## 4.1 Summary of papers, journal articles and book findings

NAME OF SCHOLARS	RESEARCH FOCUS	PUBLISHERS	TITLE OF PAPERS/ BOOK
1. Voorbeg (2017)	Social innovation in public sector	Research Gate	Co-creation and co-percolation a strategy for public service innovation a study to their appropriateness in a public sector
2.Klijjn and Koppingen	Governance innovation	Routledge	Governance in the public sector
3.Mintzberg (1997)	Adhocracy in public sector innovation	International journal of business management	Adhocracy culture and strategy implementation, an implementation within professional bodies in lenya
4.Sorensen& Torjing (2011)	Collaborative innovation in public sector	Research gate	Enhancing collaborative innovation in public sector
5.Eldelenbos and Steijn (2011)	Innovation in the public sector	McMilliam	Innovation in the public sector
6.Sunderkov&Ronning (2021)	Public Service innovation	MDPI Publisher	Public Service Logic recipe
7.Perteson (2010)	Implementation of BathoPele Principles	Mediterrancum Journal of Social Science	Implementation of Batho Pele Principle in an Education office
8.Sibongile (2004)	Implementation of Batho Pele	University of Forthare	An evaluation on the implementation of Batho Pele service delivery
9.Venters (2018)	Batho Pele Principle	University of western Cape	An examination of implementation of selected Batho Principles

10.Mokgoro (2003)	Batho Pele Policy Review	Job Mokgoro Consulting CC	Batho Pele policy
11.Public Services Commission (2008)	Implementation of BPP	Public service commission	Report on the implementation of BPP of openness and transparency in the public
12.Ngidi & Dorasamy (2013)	Application of BPP	Durban university of technology	BPP Principles
13.Khozi etal (2010)	Implementation of BPP	University of South Africa	Implementation of Batho Pele principle in one public hospital in South Africa: patients experience
14.Mabunda (2014)	Implementation of BPP	University of Venda	An assessment of the implementation of Batho Pele principle by health are provides
15.Majopelo et.al 2021	Application of Batho Pele principle	Sage Publishers	Applying Batho Pele Principle in SA Public services
16.Mangipa 2020	Implementation of BPP	University of UKZN	An assessment of the implementation of BPP in waste management
17.Vries and Kroukamp 2021	Innovation in SA Governance	University of free state	Innovative thinking in South Africa
18.Bavuma et.al (2001)	Service delivery	Emerald publisher	Alternative service delivery and public sector transformation in South Africa
19.Kanyemba (2017)	Service innovation	University of North west	E-governance innovation for effective service delivery

20.Mbecke et.al (2014)	Service delivery dilemma	LLC Consulting publishing company	Resolving service delivery dilemma through a cohesive service delivery theory
21.Centre for Public Sector Innovation 2018	Compliance in service innovation	CPSI Publishers	Annual report for public sector innovation
22.Rakate (2006)	Transformation in public service	University of Pretoria	Transformation on the South African service
23.Public services journal (2012)	Service delivery review	Department of public service and administration	Reaffirming Batho Pele after 15 years
24.Masilela (2014)	Governance in service delivery	University of Joburg	Open governance for improved service delivery innovation in South Africa
25. Grönroos, C. Voimer (2013)., 11:3, pp. 279-301.	Value Co-creation in Service Logic:	Research Gate	A Critical Analysis. Marketing Theory

The following part of the paper is dedicated to the scholarship review, which analyses 25 scholarly papers, theses, books, and articles selected for this study. The researchers have discovered the following results.

#### 4.2 Findings on public sector innovation

"In this work, the author believes that public sector innovation is brought about by adhocracy," writes Voorberg (2017), who advocates for the concept of co-creation and collaboration. Klijin and Kopponjan (2015) highlighted the significance of governance networks as communication networks essential in the public sector, positing them as a potential solution for facilitating more rapid innovation. The authors espouse the adoption of hybrid structures, which necessitate adaptation in light of the contemporary fourth industrial revolution (4IR). Moreover, Mintzberg (1997) endorsed the adoption of adaptable organisational structures via the means of design, strategy, and adhocracy. According to Sorensen and Torfing (2011), it is argued that societal challenges within the public sector can only be effectively addressed through innovation in the public sector. According to Sonderkov and Ronning (2021), the Public Sector Logic model is proposed as a suitable approach for enhancing service quality in the public sector and promoting citizen engagement. This model emphasises the importance of citizens in creating value by actively shaping the services they receive and initiating transactions. In contrast to previous models prioritising organisational policies, the Public Sector Logic model places citizens at the



forefront. The consensus among the writers of this study is that the consumer initiates contemporary service delivery, a fundamental aspect of the Batho Pele principle of prioritising people.

### **4.3 Findings on the Batho Pele Principles Implementation**

According to Sibongile (2014), most government departments simply put the Batho Pele Principles on their walls, but the capacity to adhere to them is lacking, and there are numerous anomalies. Paterson (2014) believes that there is still a gap between citizens' aspirations and perceptions of the public sector. Another implementation difficulty is information asymmetry, which occurs when information differs in terms of prioritization and application of the same principles. According to the author, the WTPSD (1997) is not being followed. Furthermore, the author emphasizes a lack of cooperation on the part of both intermediate and upper management levels in implementing the Batho Pele Principles. Venter (2018) who did scientific research on the eight principles revealed that there is inconsistency in the implementation of the eight principles. In his 2003 study, Mokgoro conducted a comprehensive policy evaluation of the Batho Pele Principles. He argued that the reformation of government organisation design holds the key to addressing the issue at hand. Mokgoro strongly criticised the bureaucratic structures that impede implementing new approaches.

### **4.4 Implementation challenge of Batho Pele Principles in public sector**

In Makgoro's (2003) study, the author directed their attention towards performance management and responsibility, ultimately condensing the 11 principles in order to streamline their quantity. Once again, it is argued that qualitative assessment of results lacks effectiveness, and instead, a quantitative evaluation of outputs is deemed necessary. An additional finding indicated a deficiency in resources, which impeded the effective execution of the Batho Pele Principles within the public sector. The Batho Pele Principles of Openness and Transparency are subject to misunderstanding, as indicated by the Public Sector Commission Report (PSC) of 2008. It has been determined that these two entities are significantly lagging, necessitating the allocation of funds to facilitate the attainment of openness and transparency. Additionally, according to the findings of PSC (2013), there is a lack of a standardised approach among government entities in implementing all eleven criteria. Another concern was the absence of authoritative leadership and accountability in implementing the aforementioned principles. In Ngidi and Dorasamy's (2013) study on the implementation challenges, it was found that citizen consultation is predominantly limited to lower government levels rather than being practised at the highest echelons of the public sector. Numerous regulations are imposed as authoritative directives, devoid of any participation from consumers or members of the public. Mabunda (2014) notes a significant uptake of the Batho Pele Principles within the healthcare industry, potentially attributable to the sector's empathetic characteristics. The authors argue that there exist evident policy conflicts within the public sector, whereby numerous policy directions are presented that are indistinguishable and challenging to comprehend.

An additional observation is to the Batho Pele principles, which appear to be mostly regarded as a matter of adherence within different government ministries, lacking any discernible plan or approach for execution. Another notable contradiction pertains to the discerning implementation and prioritisation of certain concepts over others, including transparency and openness. Mnandi (2020) similarly observes that execution in numerous

towns is failing to meet anticipated standards, thereby evoking a shared notion and sentiment. The author holds a dissenting viewpoint regarding the perceived inadequacy of quality in local government service delivery. This phenomenon is shaped by many factors, encompassing corruption, inadequate financial resources, and a dearth of mechanisms for ensuring responsibility within local communities. Moreover, the authors of this study concur with Mmandis' contention that South African towns exclusively react to issues when citizens initiate protests. This reactive strategy is deemed as the primary means by which problems are addressed promptly, reflecting a broader pattern within public service.

Kroukamp and Vries (2018) put out a conceptual framework for policy implementation that draws upon the principles of innovation thinking. The authors critique policy directives that are not being effectively implemented due to inadequate administration and leadership within the public sector. It is widely held that there exists a multitude of policy initiatives, including the Integrated Development Plan (IDP), National Development Plan (NDP), White papers, Local Government, and the Turnaround Strategy (LGTAS). Policies undergo periodic revisions, as exemplified by the 2019 White Paper on Science, Technology, and Innovation (WPSTI). These endeavours, however, exhibit a deficiency in the coherence of governance and implementation within the public sector. According to Mbecke (2014), there are comparable perspectives that advocate for the adoption of unified service delivery as a means to drive public sector innovation. According to a report by the Department for Centre for Innovation (2018), there is a notable presence of wasted expenditure, irregular expenditure, and a lack of accountability across several public sector policies. As a result, certain governmental departments are adhering to the regulations, while others continue to be hindered by excessive bureaucracy, impeding the effective execution of policies.

Private Public Sector Partnerships (PPPs) have been identified as a feasible approach for fostering innovation within the public sector. However, the absence of established protocols for assessing the projected outcomes of said collaboration is evident. The guidance provided by Osborne (2018) in the Public Sector Logic model aligns with the recommendations put out by Voorberg (2017) in their previous work. These proposals have played a significant role in facilitating the enhancement of South Africa's public sector since the post-apartheid era of 1994. The authors of this study assert that the South African economy experienced a relatively swift recovery subsequent to the global recession in 2008. They further argue that the period from 2010 to 2017 marked the pinnacle of the South African economy, primarily due to the multiplier effect resulting from effective governance, successful implementation of sound economic policies, and heightened productivity levels. The Service Delivery Review (2012) highlights numerous instances of service delivery protests throughout different municipalities, serving as an illustrative case of inadequate policy implementation, particularly in relation to the Batho Pele principles. Additionally, the authors of this study propose that certain towns, such as those in the Western Cape, exhibit effective governance. In these municipalities, leadership headed by individuals of white ethnicity have advocated for the implementation of co-creation and co-production as crucial principles in achieving excellence in the public sector.

In a study conducted by Rakate (2005), an examination was undertaken to investigate the transformation occurring within the public sector of the Department of Health, specifically focusing on the implementation of the Batho Pele Principles. The author identifies a deficiency in the policy process pertaining to public sector innovation, specifically the absence of responsible criteria for policy development. Numerous white papers underwent revision and modification as a result of Rakate's assertion. Nevertheless, the towns governed by black administrators are facing significant challenges in effectively implementing the Batho Pele Principles. Furthermore, the presence of politics serves as a significant obstacle hindering the successful application of Batho Pele principles across numerous communities. The prevalence of service demonstrations conducted by black political parties in large metropolitan areas is excessive. The topic under discussion does not pertain to racial matters, but rather concerns the practical challenges faced in the realm of government. The report's findings indicate that the protests observed in these localities bear resemblance to the historical events of the South African 1976 Uprising, during which a significant number of individuals were impacted by the apartheid regime. The focal point of these protests revolved upon inadequate service delivery and instances of corruption. Consequently, the Batho Pele principles will become obsolete. According to Masilela (2016), there exists a contrasting perspective about the transformation of public sector innovation within the governance of the South African public sector. The individual in question espouses the concept of the 4IR fourth Industrial Revolution as a form of "open governance" that fosters innovation within the public sector. The authors of this study concur with Masilela's perspective, asserting that a unified approach and integration of the 4IR at the implementation stage are necessary for the effective application of the Batho Pele Principles.

## 5.0 CONCLUSIONS AND RECOMMENDATIONS

The authors of this paper assert that a comprehensive perspective on public sector innovation is necessary for both lower and senior management levels in public and private organisations. They argue that such an approach is crucial in order to enhance service delivery and achieve better outcomes. The successful integration of the eleven Batho Pele Principles necessitates a meticulous implementation framework to ensure their effective articulation and alignment across all governmental planning documents. The study proposes that strategic planning documents, such as the Annual Performance and Operational Plans, should be structured based on the Batho Pele principles. This is because planning plays a crucial role in shaping all government operations and incorporating these concepts can facilitate enhanced service delivery.

Moreover, the integration of these concepts into yearly objectives, descriptors of technical indicators, and day-to-day activities carried out by governmental bodies would act as a catalyst for seamless execution. The establishment of a well-defined action plan that guides the application of principles should be considered a fundamental concept and driving force inside the Service Delivery Model of particular departments. The utilisation of Batho Pele principles as a benchmark by departments throughout the development of Service Delivery Improvement Plans is crucial for assessing the degree of plan implementation. Furthermore, it is imperative to enhance accountability at the implementation level by ensuring that all governance structures possess a comprehensive understanding of the underlying principles and are proficient in their practical

application. Consequently, it is imperative to incorporate the cohesion of the 4IR and governance into the government's action plans. Moreover, it is evident that political disparities are readily apparent within the context of local governance, hence precluding any opportunities for cooperation or oversight.

The prioritisation of establishing stringent oversight committees dedicated to monitoring the implementation of the principles is of utmost importance. It is imperative for municipalities to place emphasis on the prioritisation of fostering innovation as a fundamental approach to cultivating resourceful municipal councils and administrators that possess the ability to think creatively and implement innovative strategies aimed at enhancing service provision.

Municipalities are required to establish monitoring and evaluation protocols that align with their Integrated Development Plans, Service Delivery Budget and Implementation Plans, as well as other strategic planning initiatives and activities pertaining to service delivery. In conclusion, it is imperative to conduct a yearly assessment to evaluate the degree of implementation of these principles, so facilitating an in-depth analysis and potential reassessment of the comprehensive Batho Pele White Paper.

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