

**UNIVERSITY OF KWAZULU-NATAL**

**An Investigation of the Management of Human Resource Policies in  
KwaZulu-Natal Provincial Treasury**

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Master of Commerce**

**School of Management, IT and Governance  
College of Law and Management Studies**

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## **ABSTRACT**

Christensen (2005:77) states that there are very few line managers who are really involved in setting human resource strategy and very few HR leaders who work hard enough in inviting management into the world of HR. Every manager has a responsibility for managing personnel issues of his/her directorate guided by the HR prescripts. Whilst the HR directorate offers support services to managers in implementing all human resource strategies and also ensures that the respective directorates comply with legislative frameworks. However, most managers tend to eliminate the HR function from business priorities and put more emphasises on what is regarded as real business matters such as technology, product, sales and profit.

This study is contextually based at the KwaZulu-Natal Provincial Treasury in Pietermaritzburg. The study intended to analyse and evaluate the management of human resource systems in improving performance and service delivery in the Provincial Treasury in KwaZulu-Natal. The study also aimed at investigating if the human resource systems have a direct or indirect impact on achieving the strategic objectives of the department.

Data was collected using an open-ended questionnaire. Out of 149 senior/middle and junior managers who were permanently appointed by the KwaZulu-Natal Provincial Treasury, 110 Managers participated in the study. Data collected was analysed using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel for quantitative questions and the thematic analysis for qualitative questions. The study found that the human resource systems have a strong impact on both individual and departmental performance. The findings also indicated that most managers within the department have unconsciously delegated most of the human resource functions to the Human Resource Directorate and rely on this directorate to lead these functions on their behalf. It is critical to locate the human resource function at a strategic level and also to incorporate human resource strategies into the broad departmental strategies in order to effectively manage human resources which can assist the department to achieve the desired results. Therefore the management of human resource systems can have a negative or a positive impact on the individual and directorate performance which can eventually lead to an improvement or no improvement of departmental performance and service delivery.

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## **CHAPTER 1: INTRODUCTION AND OUTLINE OF THE STUDY**

### **1.1 Introduction**

Every manager has a responsibility for managing personnel issues of his/her employees guided by the Human Resource (HR) prescripts. Whilst, the Human Resource directorate offers support services to managers in implementing all Human Resource Strategies and ensures that the respective directorates comply with legislative frameworks, managers want to eliminate the HR function from business priorities and focus on what matters the most to the business such as technology, product, sales and profit. The management does not want to deal with people's problems and concerns: the concentration is rather on the output and results, ignoring the human resource issues which form part of the input that can have a negative or positive impact on an organisation's results.

On the other hand, HR professionals perceive management as their stumbling block in implementing HR strategies and most of these strategies must be approved and driven by managers in their respective directorates. Christensen (2005:77) states that there are very few line managers who are really involved in setting human resource strategy and very few HR leaders who work hard enough in inviting management into the world of HR. If there is not enough effort that is done to get management to buy-in regarding HR strategies then that can result in HR programmes collapsing and in the non-compliance with HR legislative frameworks. Even though the HR function is coordinated by HR professionals, the implementation of the HR function is the responsibility of each manager in his/her directorate. Management also feels that the HR designed process are more of a burden than being useful processes/tools such as staffing, hiring, training, compensations limits and other HR related processes that can add value to a business's performance.

According to Christensen (2005), management perceives HR policies as designed for the sake of compliance and do not see the implementation of HR policies as being able to solve business problems which are a result of human problems or concerns. HR professionals are pushing the programmes but there is very little pulling from the management in implementing those programmes. There is very little mutual agreement between HR professionals and management in terms of the implementation of HR programmes. Christensen (2005:78) mentions that HR plays a "cop role" where the management is told what it can do or not do. There is no partnership between management and HR.

### **1.1.1 Background and outline of the research problem**

The objectives of this study are derived from the research problem (and its subtopics) which is the implementation of human resource policies and the integration of these policies with the broad strategic programmes. The study intends to analyse and evaluate the effectiveness of the management of human resource policies in improving the performance of the officials within the Provincial Treasury in KwaZulu-Natal. The focus of this study pays attention to the management of the human resources policies by the managers in this Department. The KwaZulu-Natal Provincial Treasury had scooped Gold Batho Pele Award in consecutive years since (Internet 4). There is acknowledgement and recognition that this Department is leading the whole province when it comes to human resource management and development. The researcher intends to determine how human resource policies are managed at a division and component level. The effectiveness of human resource policies implementation can assist the department to maintain the standard of being a golden winner and also go beyond the province. Moreover, these policies have a direct impact on the achievement of the vision, mission and strategic objectives of the department. The managers have a crucial role to play in ensuring that these policies are well managed in order to improve the performance of the staff.

However, employee' productivity and staff morale can be influenced negatively if these policies are neglected by the management. The researcher has an interest in evaluating the management of human resource policies in the KwaZulu-Natal Provincial Treasury and so attention has been paid to the following:

- How can the provision of training development opportunities assist employees to improve performance?
- How can managers ensure that their subordinates attend training programmes of good quality?
- How do managers ensure that leave is managed effectively and what are the mechanisms that they apply in order to avoid abuse of leave?
- To what extent do managers implement performance management systems in their respective Directorates?
- To what extent do managers comply with the legislative frameworks of the HR related prescripts?

## **1.2 Research Methodology**

### **1.2.1 Research Design**

The research design refers to the plan and structure of the study which the researcher used to answer research questions, obtain research and collect information from the participants (Welman, Kruger and Mitchell 2005). It involves planning, visualizing of data and the employment of this data in the research project as a whole (Leedy 1993). This study is contextually based at the Provincial Treasury in Pietermaritzburg, KwaZulu-Natal.

Qualitative research design produces data that consists of words in the form of rich verbal descriptions rather than numbers (McMillan and Schumacher 1997). This design will assist the researcher to acquire in-depth information in terms of managing human resources. According to Wagner (2004), the advantages of doing qualitative research are as follows:

- flexibility to follow unexpected ideas during research and explore processes effectively;
- sensitivity to contextual factors;
- ability to study symbolic dimensions and social meaning; and
- increased opportunities
  - ✓ to develop empirically supported new ideas and theories;
  - ✓ for in-depth and longitudinal explorations of management phenomena; and
  - ✓ for more relevance and interest for researchers.

### **1.2.2 Problem Statement**

When the roles of management of human resources are not clearly defined then could lead to non-cooperation and non-compliance in terms of adherence to human resource policies which can weaken the performance and growth of the KwaZulu-Natal Provincial Treasury. This study can also assist in determining if the effective management of human resource policies can assist the department to promote excellence and also improve performance of the staff which can eventually lead to improvement of service delivery.

### **1.2.3 Hypothesis**

**H0:** Effective management of human resource policies can promote excellence in the performance of the staff of the KwaZulu-Natal Provincial Treasury.

**H1:** Effective management of human resource policies cannot promote excellence in the performance of the staff within the KwaZulu-Natal Provincial Treasury.

### **1.2.4 Objectives of the study**

The study seeks to pay attention to the following:

- i. To investigate the extent of compliance with the human resource policies and procedures from the respective managers within the KwaZulu-Natal Provincial Treasury;
- ii. To investigate how leave is managed;
- iii. To determine what mechanisms are in place to deal with abuse of leave.
- iv. To investigate how managers implement performance management;
- v. To determine how the managers manage training and development in their respective directorates; and
- vi. To determine the provision of training programmes in order to assist employees to perform at their optimal levels.

### **1.2.5 Data Collection**

The instrument used for data collection was an open-ended questionnaire. The contents of the questionnaire were some closed (quantitative) questions but mostly open-ended (qualitative) questions. This empirical research will focus on senior managers, middle and junior managers of the KwaZulu-Natal Provincial Treasury.

### **1.2.6 Sampling and Target Population**

The statistical population of this study comprised of senior managers, middle managers and junior managers of the KwaZulu-Natal Provincial Treasury. The KwaZulu-Natal Provincial Treasury has 149 managers which include senior, middle and junior managers. There are 34 senior managers, 50 middle managers and 65 junior manager permanently appointed at the Provincial Treasury who form part of this study. According to the Table for Determining Sample Size from a Given Population (Krejcie and Morgan 1970), if the population is 140-149, then the sample size must not be lower than 103. The sample of this study was based on Krejcie and Mogan (1970) and 110 managers participants which was 23 senior managers, 53 middle managers and 34

junior managers responded. The participants were selected using the random sampling method. The list of all senior managers and middle managers in the KwaZulu-Natal Provincial Treasury was used to select the sample for this research, by using random sampling to collect data.

### **1.2.7 Data Analysis**

The next step after gathering information is data analysis. The research findings can be interpreted using different analysis techniques, depending on the type of data and the research question. Data analysis is a systematic process of selecting, categorising, comparing, synthesising and interpreting to provide explanations of the single phenomenon of interest (MacMillan and Schumacher 1993). It refers to the act of transforming data that is collected with the aim of extracting useful information and coming to conclusions. Since the instrument was both in qualitative and quantitative methods then the research has analysed data using the statistical package for social science (SPSS) for quantitative questions and thematic analysis for qualitative questions. Thematic analysis was a system used to analysis qualitative questions which is a method for identifying, analysing and reporting patterns or themes within data. A theme captures something important about the data in relation to the research question, and represents some level of patterned response or meaning within the data set (Braun and Clarke 2006). It was useful and advantageous for the researcher to use thematic analysis to analyse qualitative data because of its flexibility. Thematic analysis is a relatively easy and quick method to summarise a large body of data and also to pick out similarities and differences across the data set.

### **1.2.8 Validity**

Validity is the extent to which a research test measures what it intends to measure. There are two types of validity that the research has ensured: external validity, which is the ability of the data to be generalised across persons, settings and time; and internal validity which is the ability of the questionnaire to measure what it is supposed to measure (Welman et al. 2005). The researcher has also ensured optimising the validity in this study by using simple understandable language and avoiding the use of ambiguous words in the research instrument. Face validity is the test where researcher tests if the questionnaire is clear, and content validity determines if the questionnaire measures what it is supposed to measure (Welman et al. 2005).

### **1.2.9 Reliability**

Denscombe (2003) states that the researcher must be confident that his/her measurement is not influenced or affected by the instrument that gives inconsistent results if the research is conducted on different occasions. A good level of reliability means that the research instrument produces the same results even if it is done on different occasions or in different environments. Reliability tests are used to determine if the research instruments are neutral in their effects. The issue of reliability is transformed into the following question “If someone else did the research would s/he have got the same results and arrived at the same conclusions?” (Denscombe, 2003:273). Welman et al. (2005) define the split-halves reliability as a calculation of the correlating scores on one half of the test with the scores for the other half. The split-halves reliability test was used to test the internal consistency of responses. The researcher for this study used the split halves reliability test where the sample was divided randomly into two parts to find the correlation between these two parts.

### **1.2.10 Ethical Considerations**

It was voluntary for participants to participate in the study because the participants were not forced to participate in the research. It is a principle that the researcher is required to respect the autonomy of all the participants in the research work, (TerreBlanche and Durrheim 2002:66). The participants were free to withdraw at any time during the study and the participants had every right to do so. The researcher respected the privacy and confidentiality of the participants. Any information given by given by the participants was not disclosed. During the study the researcher did not do any harm to the participants. The researcher considered the potential risks of inflicting physical, emotional, social or any other form of harm (TerreBlanche and Durrheim 2002:66). The researcher examined the benefits of the study together with the risks of the study. The research proposal together with the questionnaire was sent to the Ethical Committee for approval and ethical clearance was granted (refer to appendix c).

### **1.3 Structure of Dissertation**

**Chapter 1:** Introduction to the research study and brief summary of the aim of the study and the objectives are covered.

**Chapter 2:** The literature review of the study which is the background of the role of management in implementing HR policies and the key human resource policies and programmes are dealt with.

**Chapter 3:** This is a chapter on government, particularly the KwaZulu-Natal Provincial Treasury.

**Chapter 4:** Research methodology: a discussion on the research design and methodology used during the study.

**Chapter 5:** The presentation of the research findings.

**Chapter 6:** The discussion of the findings will be focusing on the research results.

**Chapter 7:** This is a summary chapter which consists of the summary, limitations, recommendations and suggestions for further research.

### **1.4 Summary**

The purpose of this research is to determine whether managers within the Provincial Treasury manage the human resources effectively or not. Each manager has a responsibility to take care of the human resources of his/her directorate and the senior, middle and junior managers formed part of the sample. Each manager was requested to complete an open-ended questionnaire and data will be analysed using the data analysis methods that will correlate with the study. The limitation of the study is that the sample might not be representative enough to be extrapolated to the entire population. The next chapter will be looking at literature review which will provide second sources that related to the research topic.

## CHAPTER 2 - LITERATURE REVIEW ON HUMAN RESOURCE POLICIES

### 2.1 Introduction

This literature review chapter focuses on the theoretical background of the study as outlined in the previous chapter which was an overall introduction to the study. The human resource personnel provide support services, professional advice and guidance to managers in implementing all human resource strategies. The human resource personnel should ensure that managers comply with the legislative frameworks when trying to achieve the organisation's strategic objectives White Paper: Human Resource Management in the Public Service (1997:23). The White Paper on Human Resource Management in the Public Service (1997:22) stipulated that the management of human resource should be at the point of delivery, where this function is decentralised into the respective sections. Further to this, every manager has a responsibility of managing personnel issues of his/her directorate guided by the Senior Management Services: Public Service Handbook (RSA 2003) and other human resource related prescripts such as the Skills Development Act, Employment Equity Act, Basic Conditions of Employment Act and Labour Relations Act. Managers must adhere to such legislation prescripts in ensuring that there is an effective management of human resources.

The White Paper on Human Resource Management in the Public Service (RSA 1997) emphasises that line managers have the primary responsibility in managing daily human resources in consultation with the human resource personnel. This is because they are the best people to verify if the human resource legislations are adhered to since they provide supervision and oversee their subordinates. In order to adhere to legislative prescripts, departments and other organisations are expected to be acquainted with all matters that are stipulated in relevant legislations.

Berman et al. (2013) also mention that the head of human resources should be located in the Chief Executive Officer's (CEO's) office and serve in the CEO's cabinet, because human resources play a backbone role which is very crucial in every organisation.

The subject matter authors have commented that the human resources should be strategically located in order to assist in achieving the strategic objectives of the company. Soni (2004) states that human capital should be regarded as an investment asset not as a cost to the organisation which can assist to achieve the vision and mission through human capabilities. The importance of investing in human capital must be emphasised as it has direct impact on the organisation's performance. This could assist in balancing the quality of work life and the level of job satisfaction. The human resource managers should partner with the top management and be actively involved in decision making and growing the organisation through investing more

in human assets. These human assets are nourished, serviced and maintained through proper human resource policies that address the needs of the workforce.

“The private sector human capital management practice can be adopted in the public sector to provide an insight of how they manage their people to achieve their missions and goals. For company that invests on implementing the human capital strategies support the achievement of their core goals and specific values” (Soni 2004: 160). Human capital management is treated as fundamental to the strategic business management of the company and the vision is communicated at all levels (Soni 2004). Henderson (2011) states that good managers do not only use resources effectively and economically but also invest in human assets, which are the real resources that give an organisation the competitive edge. Bonder et al. (2011) define competencies as the set of skills that are relevant and unique to the organisation and that will provide the core function and will reach the competitive edge. Therefore no business can have a competitive edge, achieve its objectives and performance at a high level, without its human assets.

However, Christensen (2005) argues that managers want to eliminate the HR function from business priorities and focus on what matters most to the business such as technology, product, sales and profit. In the past, line managers were required to deal with human resource decisions daily which impacted the business before human resource structures were in place (Henderson 2011). Berman et al. (2013) highlight that managerial flexibility must be increased, where the scope of managers is expanded over to other matters that pertain to hiring, training and development, discipline, terminations etc, and that is one of the principles of effective human resource management.

But the business outputs and results are overemphasised nowadays and the management has neglected the responsibility of dealing with people’s problems and concerns compared with the past. However, in most cases the responsibility of managing human resources solely lies on the shoulders of human resource personnel. Noe (2008) highlights that one of line managers’ roles is to ensure that there are continual learning and development interventions in order to keep up with new trends in their respective fields. He further mentions that the top management including the CEO have a vast responsibility of ensuring that they provide a clear training and development vision which is normally delegated to human resource managers or training managers. Senior management should also commit to the training budget being made available as outlined in the Skills Development Levies Act (RSA 1999). CEOs and top management should account for where there is financial misconduct in terms of the Skills Development Levies Act of (RSA 1999).

It is the responsibility of management to develop new training and development programmes that can assist the organisation to move progressively forward. In some organisations, they initiated learning forums where top management and subject matter experts facilitate short training sessions and share special ingredients and recipes on best practices, Public Service Regulations Act (RSA 2001).

However, Noe (2008) recommends that managers must be fully capacitated and trained thoroughly not only on technical issues but also on people management in order to deliver what is expected of them. The human resource issues form part of inputs and resources that can have a negative or positive impact on an organisation's end results.

On the other hand, HR professionals perceive the management as their stumbling blocks in implementing HR strategies as most of these strategies must be approved and driven by managers in their respective directorates (Christensen 2005). Managers not having an interest in managing human resources might be the repercussion of lack of training or misunderstanding of roles (Noe 2008:62). Noe also mentions that managers would value their participation and involvement if they were rewarded accordingly. The SMS Handbook (RSA 2003) also has guidelines on how managers should execute their human resource functions and it is now linked to each manager's performance contract in the public sector. Human resource functions can be easily neglected if they are not incorporated in performance contracts. The White Paper: Human Resource Management in the Public Service (RSA 1997) mentions that the managers must be fully capacitated and skilled in managing personnel regardless of their position. The management development programme should give clarity to the human resource duties that are shared and also emphasise the role of management so that managers could have a clear understanding of what is expected of a manager. In contrary, Noe (2008) brings up the point that some senior managers might feel that training is a unnecessary evil that is dumped on their shoulders but not has an initiative to assist their teams to perform better.

According to Noe (2008) it must be noted that research recommends that managers are expected to perform the following duties:

- Manage performance and motivate employees to perform better and reach their full potential;
- Capacitate their subordinates; and
- Give clear instruction about tasks and projects that must be implemented.

Noe also mentions that senior managers tend to focus on monitoring the business environment if it is conducive enough for working and to neglect other human resource functions that they are expected to execute (2008:61).

This White Paper on Human Resource Management further defines the manager as a person whose duties and responsibilities consist of managing people in the workplace and being responsible for the work of other people (RSA 1997:19). Managers are selected based on technical skills for their respective directorates and very little attention is paid to managerial skills which include human resource management.

This criterion does not necessarily select best managers for the job but managers who are competent in technical skills and less competent in people management skills (Soni 2004:16). The technical skills should not be over-emphasised at the expense of management skills and should be balanced, especially in managerial positions. For this reason, some companies incorporate management competence assessments in their recruitment strategy, so that the level of management competencies can be assessed at entry level. Bonder et al. (2011) mention that many organisations have adopted the competency based management approach, which includes the management of key human resource functions such as recruitment and selection, training and development, management of performance and workforce planning etc. This approach helps to integrate the key human resource functions with the business activities and strategies of the organisation.

## **2.2 History of Human Resource Function**

There were no firms or organisations in the past, but most people used to make craft work in their homes and be involved in agricultural activities up until the Industrial Revolution was introduced. Where people started to change the way they used to do their day-to-day work and worked in firms, there were new manufacturing processes (Van Der Westhuizen et al. 2011:42).

When the manufacturing industry was established during the first Industrial Revolution, it was changed completely when the concept of people management was introduced in the United Kingdom. During this dispensation, the employers were restricted to abiding by new laws and regulations that governed the factory industry. One of the regulations that governed the manufacturing industry was the Factory Act of the 1840s which aimed at taking care of the wellness of the staff and the implementation of this Act was evaluated and monitored by the welfare office. This was the way of ensuring that employees' safety and wellness was not compromised.

Henderson (2011:6) states that caring for the welfare of the employees was thus the first true people management role in the sense of organisational responsibility beyond that of specific job performance. Henderson further indicates that there are three key human resource aspects which were introduced by Factory Act (RSA 1840s). In the past, people management used involves the programmes and strategies that pertain to wellness of employees.

Nowadays, it is called employees wellness programmes, which seek to enhance employees' wellbeing where counselling and other assistance is provided in order to create holistically healthy workforce. Secondly, Henderson (2011) further mentions that the other aspect that people management introduced during this revolution was representing workers during negotiations and organisational forums. This is aimed at creating an environment that is conducive for fair collective bargaining and also for maintaining good employment relationships between employees and employers. Lastly, the recruitment and selection aspect followed which was the responsibility of foremen to select people to work and this further led to the formation of skills development (Henderson, 2011).

Hackett (1992) defined the Industrial Revolution as the name given to the movement in which machines changed people's way of life as well as their methods of manufacturing. This is where most of the corporate concepts were introduced and employers intended to make the lives of their workers better. The concept of Industrial Revolution was introduced in South Africa during the 19th century where the focus was shifted from agricultural society to industrial society, when the first diamond was discovered in Kimberly in 1867. During the transition process there were labour regulations that were introduced such as the Masters and Servants Act of 1841 and Master and Servant Act of (RSA 1856). These regulations spelt out the rules and regulations of dealing with human issues i.e. working conditions, starting times, measures to deal with servants who disobeyed their masters, unreported absence of leave, punishment rules for misconduct and performance issues (Van der Westhuizen et al 2011).

The Scottish textile manufacturer Robert Owen spent most of the profit on solving personnel issues such as improving the working conditions, provision of school facilities, and housing facilities, etc. (Van Der Westhuizen et al. 2011). These better conditions were primarily made for the workers so that it would be easy for workers to stay in the industrial area. Fredericks Taylor who invented the science management techniques, came up with different methods that would make the production processes more effective i.e. working conditions, recruitment of employees and jobs that identified the best tools for working.

Thereafter, there were quite a number of people management activities that were introduced which led to the formation of the Institute of Personnel Management (IPM) in the UK. This organisation was formed in order to offer support to people managers and specialists and it also created a platform for information sharing and networking.

Drucker (1995 cited in Henderson 2011) says people management involves unrelated, albeit individually important activities. In other words, no activity could be substituted by another activity.

In 1945 Isabel White who is referred to as the “mother of personnel management” introduced and founded the Institute of Personnel Management at Port Elizabeth in South Africa in 1945 (Internet 1). White established a number of branches all over South Africa when she was chairperson where personnel related issues were tabled and this was the forum of sharing best practices among personnel managers/specialists.

### **2.3 Management of Human Resource Procedures and Policies**

Christensen (2005:77) states that there are very few line managers who are really involved in setting human resource strategies and very few human resource leaders who work hard enough in inviting management into the world of human resource. If there is not enough effort done to obtain management buy-in regarding human resource strategies, then that can result in human resource programmes collapsing and non-compliance with human resource policies. This could be one of the reasons why some human resource programmes and policies are not give strategic attention which prevents policies and programmes from being implemented. Even though the human resource functions are coordinated by human resource personnel, its implementation depends on each manager in his/her directorate. Christensen (2005) mentions that the management also feels that human resource designed processes are more of a burden than being useful processes/tools such as staffing, hiring, training, compensations limits and other HR related processes that can add value to the business’s performance. Sherman (1998) conducted research which proved that there is a strong correlation between the organisation’s performance and the management of its human resources (Sherman et al. 1998 cited in Van der Westhuizen 2011:1).

Losey (1998) indicates that the HR field acknowledges the vibrant relationship between business strategy, people, technology and procedures that drives organisations. This relationship was not as common during the evolution of people management as it is today.

According to Christensen (2005) management perceive HR policies as being designed for the sake of compliance and do not see the implementation of them as being able to solve business problems which are as a result of human problems/ concerns. Mello (2000) indicates that HR managers acts a middlepersons to handle human problems on behalf of management and also represent employees' concerns during management meetings, which can result in a conflict and ambiguous loyalty. HR personnel are pushing their programmes, at the same time there is very little pulling from the management in implementing those programmes. There is very little partnership between HR personnel and management in terms of the implementation of HR programmes. Christensen mentions that the human resource personnel is perceived as playing a "cop role" where the management is often told what it can do or not do, and there is no partnership and consultation between management and human resource personnel. Christensen (2005) emphasises that the human resource department need to shift from being cops to partners with management, so that a cohesive outcome will be reached as displayed in the table below.

	<b>Cop</b>	<b>Partner</b>
Power Base	<ul style="list-style-type: none"> <li>• Sets policy and compliance criteria.</li> <li>• Keeps control.</li> </ul>	<ul style="list-style-type: none"> <li>• Offers expertise and competence.</li> <li>• Has ability to make real business difference.</li> </ul>
Objective	<ul style="list-style-type: none"> <li>• Maintain control.</li> <li>• Provide consistency.</li> </ul>	<ul style="list-style-type: none"> <li>• Foster business growth and success.</li> </ul>
Approach	<ul style="list-style-type: none"> <li>• Provides management with a safety net.</li> <li>• Pushes Human Resources work.</li> </ul>	<ul style="list-style-type: none"> <li>• Lets management own proposals and be accountable.</li> <li>• Lets management pull Human Resources work.</li> </ul>
Results	<ul style="list-style-type: none"> <li>• HR becomes an easy target.</li> </ul>	<ul style="list-style-type: none"> <li>• HR and management are partners and co-owners of important Human Resource work.</li> </ul>

*Figure 2.1 HR as cop vs. partner (Christensen 2005:74)*

Human resource managers have spent their careers assuming that they would develop proposals for HR direction and then sell them to the management without consulting with the management. But the strategic direction for people and organisational issues should be the management's decision not HR's (Christensen 2005:80).

Hallmark (in cited Christensen 2005) developed a model that illustrates the ideal link between human resource personnel and management. This further demonstrates that the management can own HR programmes through the formulation of six corporate Human Resource

Committees that would reflect the five significant HR processes. The emphasis is that HR should provide a support/ expertise role to management.

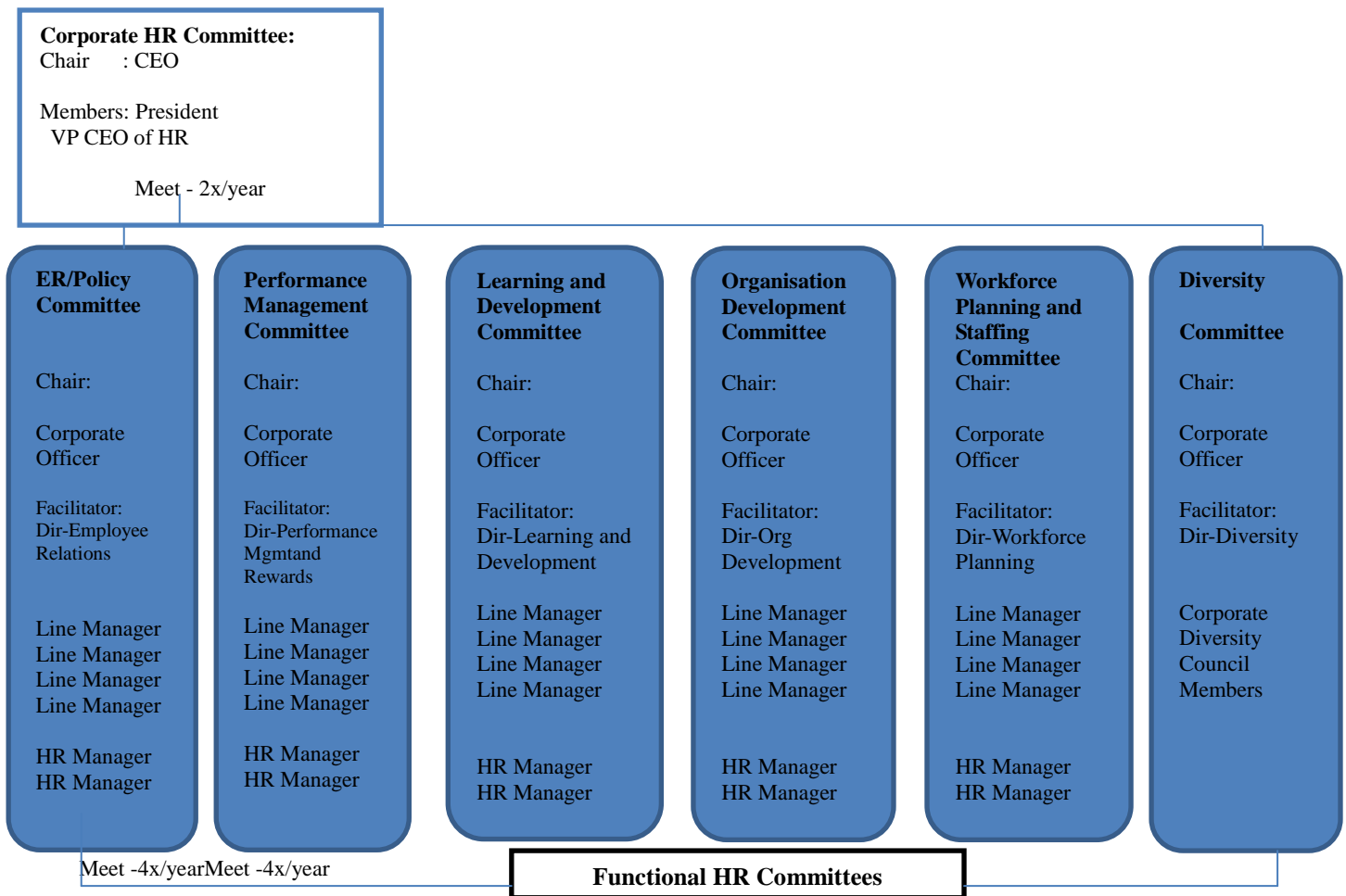


Figure 2.2 Management of Human Resource Committees (Christensen 2005:81 )

Human Resource Committees should consist of all the directorate representatives for full participation in the human resource issues. The above diagram demonstrates that the management should work hand-in-hand with the human resource personnel in developing and implementing the human resource strategies. Because it would be less challenging to drive HR strategies if these committees were fully functional and representative of the organisation. All the proposed HR strategies would be tabled and adopted during committee meetings before they could be rolled out to the whole organisation. Christensen recommends that all these Committees must be accountable to the CEO and not to the human resource department and that HR should play a technical expertise role not a leading role. “HR’s more strategic policy and planning roles have been absorbed by the chief executive offices,” said Berman et al. (2013:15).

Many HR policies need to be adopted and implemented but end up not being implemented, because of limited commitment and policies not adopted by the management. In the California Management Review where Jain and Murray wrote an article titled “Why the Human Resource Management Function Fails?” which is a theoretical framework for this study. Jain and Murray (1984:95) state that HR policies are discontinued after a few years and some are adopted on paper, but the actual use of them in any realistic, practical sense has been minimal or a mere formality i.e. “they are dead letters with no meaning”. Some of HR policies and programmes are initiated and adopted and launched formally but the implementation of them never takes place. Some policies that end up being implemented are strongly influenced by external people such as government (legislation), trade unions and other influential stakeholders. This means that that, HR policies are forced onto the management, with no mutual agreement being reached between the stakeholders and organisations’ management prior the implementation phase. These external stakeholders can also have a huge role to play in ensuring that the policies are implemented and monitored, and they also have the ability to influence the management on organisational issues such as the human resource issues.

The decision makers are very influential when it comes to programmes that are implemented in the organisation but their primary interest is in retaining and extending their power, control and wealth (Jain and Murray 1984). In many companies, decision makers are mostly senior officials who have the responsibility of managing resources especially financial resources. The personnel managers should also create an on-going awareness of human resource programmes to senior officials who have a strong influence on decision making. Mutual agreement can be reached if there is an informed consensus with decision makers.

Christensen (2005) believes that there is very little interest in investing in people and that the matters that pertain to human resources are ignored, but that the main focus is on making more profit or improving service delivery. The top managers - “decision makers” - easily ignore the matter of human resources and its policies, whereas a major role can be played by them in reinforcing these policies. Christensen is in support of the above, that his emphasis is on people and that work should be the most important priority in managers’ careers, because they are the people leaders of their respective directorates. However, the managers seem to shift all their people management duties to human resource managers and they concentrate on things that are perceived as “what matters the most”, which is running their businesses without managing human resources.

It would be difficult to ensure that managers comply with human resource policies if there is no sense of ownership and responsibility from other business units. Hosseini et al. (2011) state that in every organisation human resources are one of the most important assets and employees are worthy, intangible assets who play a fundamental role in implementing the strategic corporate plans in the organisation. The strategic human resource policies need to be integrated into the broad strategic organisational plan because they belong to the organisation. Therefore, there is no need to eliminate them from other plans. Hosseini et al. (2011) also emphasised that the human resource factor is a fundamental and essential aspect of top management's task.

Based on the above discussion, some authors have commented that there is a positive or negative relationship between the management human resources and the performance of the organisation. The management of human resources can have a negative or positive impact on an organisation's performance and it can also lead to improved job satisfaction and actual productivity; and to the reduction in employee turnover and in absenteeism. Jain and Murray (1984) indicated that the management has not linked the macro factors that have a direct impact on the market share, with the return on investment and with the long term growth of the organisation.

## **2.4 Role of Human Resources**

Mello (2000) states that the role of human resource managers is not clearly understood in many organisations, because their existence only commences the minute there is a gap between the management and the employees or vice versa. The HR role can be ambiguously interpreted if its existence starts when there are gaps and problems to solve in order to create a conducive environment to under and improve organisational performance. Berman et al. (2013) further recommend that human resources are decentralized to each manager, for the company to benefit more from them and to function appropriately. They describe the role of human resources in the organisation as the department that provides support services to the organisation with the aim of optimising organisational performance through human capital. Torrington et al. (2008 cited in Henderson 2011) state human resource functions are based on the following five objectives:

- Staffing objective (recruitment and selection and appointment, contracting etc), also noting that the recruitment and selection process is outsourced in most companies where recruitment agencies handle all recruitment related issues.

- Performance objective which seeks to evaluate the performance and also enhance the skills of people which also includes performance rewards for desirable performance and implementing disciplinary actions for non-desirable performance.
- The third objective, Henderson (2011) mentions is the change management objective which entails employee relations and interpersonal skills and other generic competencies that must be demonstrated in the working environment.
- Lastly the administrative objective which is solely performed by the human resource department and this is the only objective that is not shared with line managers.
- Keeping of files on every human resource related issue.

Henderson (2011) mentioned that there are critiques that were raised when these objectives were formed were that human resource departments must be abolished since managers would be actively involved with the first three objectives. In addition to this criticism Ulrich supported the abolishment of human resources (Ulrich 1998 cited in Henderson 2011). On the contrary, Torrington et. al. (2008 cited in Henderson 2011) recommended that this human resource role model could boost the image of human resources provided that the HR department is outcome- based driven rather than being process oriented. This means that the human resource department must be known and recognised for what they produce or deliver at the end of the day, instead of what HR does. This can be a possible way of bringing HR functions on board to fit into the business activities and of line managers having more confidence in human resource managers/ practitioners. Torrington et al. believe that one of the roles HR can assist organisations with, is to come up with methods and processes that would eventually reduce costs but without compromising the quality. The crucial point to highlight is that the technical specialists understand return on investment better when it is presented in monetary value and numbers.

Torrington et al. further recommend what has been mentioned above that the human resource managers/specialists should become business partners and have one common denominator which is moving the company forward through the execution of business strategies. Ulrich (1998 cited in Henderson 2011) emphasises the importance of employee relations where HR can play a vital role in representing employees during the management meetings and forums, where all employees' needs are discussed and addressed.

The final part of Ulrich's model is that human resources should play a role of being a catalyst of change. This also includes transformational programmes which can be diversity management, enforcing high values and organisational culture that impact the organisational

performance indirectly. On the contrary, Isabel White also raised a concern that human resource managers were responsible for the employment side issues and health side issues and some of them were out of the scope of the business .White (1946 cited in Legg, 2004:258-259) came up with the typical duties for personnel managers as follows:

- Establish and maintain interrelations between schools and the industry;
- Record keeping when job interviews were finalised by the Welfare Officers;
- Provide health care advice when needed and offer advice for dealing with problems of children;
- Conduct seminars for new employees regarding company rules;
- Provide knowledge on how to deal with fatigue and with safety precautions during accidents;
- Deal with health, unemployment and pensions issues ;
- Provide first aid services and also ensure that the working conditions are conducive for working such as office light, ventilation, seating etc.
- Oversee the nutrition programme if there is a canteen in the organisation's premises. Provide supervision of employees who are undernourished and also provide milk and oil when needed;
- Be responsible for keeping sickness and accidents records and also visit sick people;
- Ensure that the factories are kept clean; and
- Supervise the workmen's compensation cases.

These duties could illustrate the reasons why the top management did not see the strategic role of the personnel management section back then, because some duties were to give advice on safety hazards, nutritional programmes, financial solutions, also keeping records, providing first aid, and being responsible for hygiene in the factory. Henderson (2011) mentioned that these things were disregarded for many years and most managers did not see how these issues fitted in with the business processes, without realising that such issues have a direct impact on employee wellbeing (physically, emotionally, spiritually, psychologically and beyond).

## **2.5 The Key Human Resource Policies**

### **2.5.1 Human Resource Plan**

Human resource planning is a process that is undertaken with an aim of obtaining the right people with the right skills, competencies and knowledge to do the right jobs at the right time and cost (Hussey 1999 cited in Chanda 2010).

The Public Service Regulations (2001) further define HR planning as an assessment of human assets required to perform its departmental functions by paying attention to the following:

- The required number of employees;
- What competencies the current staff have; and
- What skills are not readily available within the department and how those skills can be outsourced (The Public Service Regulations, 2001:14).

Departments and entities of the government are obligated to compile human resource plans on an annual basis to determine the employment status as prescribed in the legislation (The White Paper on Human Resource Management in the Public Service, RSA, 1997:11). The human resource plan is an important strategic document that seeks to outline the availability of human resources that are needed in every organisation to meet its strategic goals. This plan seeks to determine if the organisation has the right number of employees who are in possession of the right competencies, skills and knowledge to meet its mandate as outlined in its sectoral priorities, strategic plan for that financial year. This plan should be preceded by all other human resource strategies and programmes i.e. recruitment, talent management etc (SMS Handbook, 2003).

There are skills that are not readily available and training and development interventions can be implemented in order to address the gap identified during this exercise. This process can assist organisations to come up with development programmes and succession plans to bridge gaps identified from what the organisation needs and what it actually has. It also assists in ensuring that there are adequate skills and competencies required for meeting the objectives. If there is a misalignment of what is required and what is actually available that could result in work fatigue, staff being overloaded, objectives not being met, dissatisfaction, poor performance etc. For this reason, Bonder et al. (2011) recommend that human resource planning should be integrated with talent management programmes. Further to this, where there is a shortage of skills/ personnel then the current staff sometimes has to multi-skill in order to keep up with the demands and pressure of new policies that must be implementing and also fast-tracking of technology advancement. This process is vital not only for identifying the workforce demographics but also for identifying the key competencies and skills needed to achieve the organisational objectives. It also looks at the future needs of the organisation such as the financial aspects of the personnel. The organisations would not be overspending its budget due to lack of personnel management. Moreover, HR planning also looks at the skills and competencies that are available in terms of the representation of every race, gender and people with disability for all occupational levels (The Public Service Regulation RSA, 2001).

There was a survey that was conducted in the late 1970s that indicated that the largest companies in the United State of America had no communication between the chief/ senior management and human resource management. The development of the HR plan was done solely by the human resource personnel and the management did not perceive this plan as a useful tool that could add value to their companies (Jain and Murray 1984). In contrast, French (2003) states that human resource planning forms a crucial part of all organisational planning and it also needs a collaborated effort from the management and the human resource department.

### **2.5.2 Recruitment and Selection**

The number of people who are competent to perform a job can determine the performance of the organisation. In order to meet the job requirements through human assets, recruitment is the first step to pursue that and it is used for achieving employment equity targets. French (2003:235) states that the initial stage that needs to be done after human resource planning is to find people with the right skills and knowledge through a recruitment and selection process. The SMS Handbook (RSA, 2003) defined recruitment and selection as a process that is undertaken to attract qualified people and to ensure that the best suitable people with the right skills and knowledge are chosen to do the job.

Government departments and other organisations incorporate the employment equity targets in the recruitment process which seeks to redress the imbalances of the past and also to eliminate unfair discrimination in the workplace. This is done through the affirmative action measures where suitably qualified applicants from designated groups have equal employment opportunities in the workplace (Culture and Diversity Handbook, 2013:34). The Public Service Regulations Act (RSA, 2001) stipulates that the heads of departments are liable for the implementation of affirmative action that focuses on recruitment, training and development, the promotion of each occupational level and the prioritisation of these strategies especially for people who were disadvantaged in the past.

This means that the applicants that are suitable and who are from designated groups will be given preferential treatment over other groups. It must be noted that candidates' competencies, skills and knowledge are assessed against the job specification. However, the point that is being stressed is that the suitability is the determining factor more than the designated groups. Further to this, candidates should not be discriminated against by race, gender, religion, age, disability etc because it is regarded as unfair discrimination (SMS Handbook RSA, 2003).

The implementation of the Employment Equity Act does not limit employers to only focusing on the target race and gender but the main focus should be on the skills and competencies of candidates. The handbook for the public sector proposes that the selection criteria for a fair discrimination should be based on the inherent requirements which include skills, experience, abilities, personal attributes and competencies. These requirements must determine and conclude if the applicant is a suitable candidate or not. The selection process commences after the closing date of the job advertisement where the committee concludes and recommends suitable and potentially suitable candidates.

The SMS Handbook (RSA,2003:11) also mentions that the interview committee must consist of at least three panel members and that the chairperson of this committee should be the line manager who is the subject matter expert. The Public Service Regulations Act (RSA, 2001) further states that the interview committee must be representative of historically disadvantaged people. The chairperson and other panel members must understand and be familiar with the integrity of the position and also be fully capacitated in terms of selection techniques. Some of the significant principles to highlight that members must comply with during interviews, is objectivity, confidentiality and impartiality. It is critical to mention that the human resource personnel must advise the panel regarding the importance of complying with these principles.

There are other measures that the SMS Handbook (2003) highlights and must be considered. Human resources should emphasise to the panel members that the selection criteria must be transparent, be made available to members and must also be discussed and be written before the selection process commences. The panel members should also decide the methods to be used when conducting an interview, whether it be an unstructured interview, a semi-structured interview or a structured interview. It is recommended that the final decision about the candidates' rating must be concluded during this process not afterwards, in order to abide by the abovementioned measurements and principles. These things must be discussed and consensus reached among the panel members in order to maintain consistency. However, the whole recruitment and selection process would be meaningless if there is no cooperation from the management. Human resources should play an administrative role during this process, like ensuring the scoring sheets are available and maybe verifying some information with other role players who are not part of the panel i.e. references. The line managers and other members of the committee are the ones who are selecting and are making the recommendations.

Foot and Hook (1996 cited in Van der Westhuizen et al. 2011) pointed out the recruitment objectives that must be achieved at the end of each recruitment process. Firstly the role players should ensure that there is a sufficient pool of qualified candidates to select from.

Secondly, the role players should ensure that the image of the organisation remains positive. Thirdly, to ensure that all the recruitment processes are done in a fair, transparent, equitable and professional manner and are done efficiently, effectively and economically. Lastly, the organisation should attract candidates that have the right skills, knowledge, competencies and values which will match the requirements of the job. The selection criteria should be based on inherent job requirements for the vacant post. The main focus must be on competencies to perform the duties required more than over-emphasising the academic qualifications (The White Paper on Human Resource Management 1997:12). All these objectives must be well known by all the recruitment and selection role players so that it would be easy to achieve them.

This function of staffing is generally placed in the human resource department to ensure the processes of recruitment and selection are done within the legislative parameters. All the administrative functions of staffing are solely under the human resource department. However, the line managers are in the right position to decide what duties should be done and how duties should be completed and what kind of people are needed to perform those duties. It is proposed that the line managers should be actively involved during the whole staffing process starting from the drafting of descriptions, setting the selection criteria and participating in being the panel members for short-listing, marking case studies if applicable, and interviewing the candidates, until the recruitment process is completed (Burdhwar and Sparrow 1997 cited in Chanda et al. 2010). The recruitment and selection process requires cooperation between the managers and the human resource personnel. Chanda et al. (2010:6) state that “the line managers are the owners of the recruitment and selection process along with HR playing a facilitator role.”

According to Chanda et al. (2010) there is a very little effort that is put into researching. Recruitment and selection can contribute positively to organisational performance if it is integrated with the strategic plans of the organisation. More studies should be done to determine this because it may assist organisations to pay more attention to human resource policies and procedures. The link between an integrated approach of recruitment and selection and business strategies should be measured in terms of financial and non financial factors.

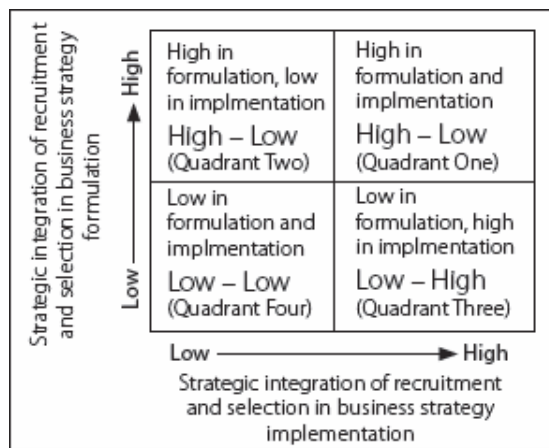


Figure 2.3 Matrix of strategic integration of recruitment and selection (Chanda 2010: 7)

The study of Chanda et al. (2010) intended to prove that the integrated approach of recruitment and selection procedures can lead to an increase in performance. They even developed a model which is illustrated in the diagram below showing that these issues are inter-dependable factors. The management tends to shift the replacement of employees to the human resource department, whereas they can play a crucial role in coming up with job profiles which spell out the competencies that are needed for a particular job and which also compare the strengths and weaknesses of the candidate against the job profile. Job profiling is defined as the collection of relevant information about the behaviour, working conditions, performance standards, skills and knowledge needed to achieve the minimum standards of performance (Jain and Murray 1984). The best person who understands and has in-depth knowledge of the job is the manager of that department. Human resources should not drive this process independently but the human resource personnel should rather play an administrative role in the process.

One of the challenges Soni (2004) highlights is that most of the positions are advertised on the internet which does not reach the targeted audience. There was a survey that was conducted by the Merit Systems Protection Board MSPB in 1998 that mentioned that there were numerous challenges encountered during job searches and this board made recommendations for dealing with such human resource challenges. For example, job searchers did not obtain adequate information about vacant posts in the advertisements.

Secondly 47% of the sample mentioned that they were not aware of positions that were posted on the internet. Further, the public sector lost competent candidates to the private companies, because the processes in government were prolonged, especially in the recruitment and appointment of new appointees which takes approximately six months. The lack of the delegation of authority is one of the reasons for an appointment delay in that only senior officials are delegated to authorise the new appointments. In most of incidences, delegated

officials prioritise their core functions rather than the human resource functions. The delegation of authority needs to be looked into in order to minimise delays but there should be stringent measures implemented to ensure that policies are adhered to. Therefore, the employment equity targets, remuneration competitions and the delegation of authority are the three factors that can change the passive attitude in the public sector (Tompkins 1995 cited in Van Der Westhuizen et al. 2011). Cartar (n.d.) made a typical example: if the recruitment section does its job and finds the best suitable person to do the job but his/her supervisor is not capable of leading people in the right direction, then the recruitment's hard-work all gets wasted.

### **2.5.3 Training and Development**

There are very few people who have adequate skills, knowledge and competencies to perform their duties and who can keep abreast of new developments. There is an area for improvement for every individual and this could be as a result of a rapid change in the terms of technology and new systems that are introduced in the corporate world. Subsequent to HR planning, a skills audit needs to be done so that the organisation can identify the skills gaps which need to be bridged. Noe further states that the human resource planning process allows organisations to plan and prepare for staff movement as a result of labour turnover, transfers, and promotions (2008:66). Watson (2004) defines the skills audit as a process which is undertaken on an annual basis with the aim of identifying the current skills and knowledge that are available in the organisation and skills and knowledge that are required to meet the organisational and individual goals. The skills audit is done through the completion of the training needs analysis and performance development plan forms, which should be done by every employee with assistance from the supervisor and the line manager. The human resource section plays a coordination role and the actual skills identification should be done by the employees and their line managers. Noe (2008) states that if managers are not involved in identifying the skills gaps and skills required and also in providing feedback to their subordinates, then it would be meaningless to conduct training and irrelevant training would be arranged which did not bridge the gaps identified.

There is an escalating demand for new skills and competencies due to technology advancement and other factors. Soni (2004) states that there is a vast skills loss in government because there are no succession planning and coaching programmes that assist departments to groom, nurture, and retain critical expertise. This results in a huge loss of skills and a skills supply shortage. Retirement contributes negatively to the skills shortage because the knowledgeable expert retires without imparting that expertise to young employees because there are no development plans for future leaders (Abramson et al. 2001 cited in Soni 2004).

The public sector finds it challenging to retain skills because the salary packages are structured in an inflexible manner compared to the private sector. The salary system should be more flexible in order to allow broader salary scaling, as recommended by Soni (2004:164). Training and development programmes are significant and have a direct impact on employees' performance. Thang et al. (2010) emphasise the importance of training and development, in that it not only assists in enhancing the current skills and knowledge in the organisation, but it also makes a significant contribution to learning new ways to improve the productivity and organisational performance. Training and development enables employees to perform at an optimal level.

The Skills Development Act (RSA, 1998) emphasises that there must be training and development opportunities provided to employees. In addition to that, the Skills Development Levies Act of 1999 compels employers to put aside at least one percent of their personnel budget for training and development purposes. In contracts, training is still not given a priority in most organisations; it is viewed as a waste of time and funds. The training budget must be available for all grades and levels in order to ensure that every grade is trained and capacitated (the Public Service Regulations Act, RSA 2001). This could assist to up-skill all levels within the organisation even the lower grades which can easily be neglected.

Noe (2008) conducted a comparison of training budgets in different countries. He mentions that in the United States employers spent more than \$5 billion per annum on training and development programmes. However, this figure was determined by the overall payroll costs of organisations, which is mandated by the Skills Development Levies Act of 1999 (RSA 1999). According to Noe employers spent approximately 3.8% of payroll cost in Japan, followed by the United States at approximately 2 percent and companies from Japan spent 1.4 percent (2008 31). These percentages are way above what the South African legislation stipulates that employers should spend, which is at least one percent of the total personnel payroll cost annually.

Noe (2008) concluded by stating that the company that spent 4 percent of its overall payroll on training expenditure was likely to succeed, because new training programmes were invented which eventually led to a positive outcome on performance. The Public Service Regulations Act (RSA, 2001) emphasises that if training and development programmes contribute positively to organisational performance then the executive authority should ensure that financial assistance and other extra learning support must be made available to employees. However, there is little evidence to show that there is a link between training and development and an improvement in organisational performance (Alliger et al. 2011 cited in Thang et al. 2010).

This may be the reason why training and development is not a strategic priority. Whenever there is an economic crisis the first budget that is cut is the training and development budget. Some employers are reluctant to send their employees to training because sometimes the training benefits might be used by other organisations. It was even suggested that the training costs could be paid through reducing the wages in order to cover the training costs. However this was not supported for it might have been contrary to labour legislations (Thang et al. 2010: 29).

Traditionally, most of the human resources policies are not easily adopted by the other employees and management because the objectives and benefits are not made known to them. The human resource department has a huge role to play in sensitising the management and employees regarding the objectives and benefits on how human resource processes fit in to the bigger picture of the business. Some organisations prefer to pay fines for non-compliance with legislation instead of following the correct human resource procedures, because their attention is mostly on other activities; as Christensen (2005) says, these activities are the “things that matter the most in the organisation”, such as profit. HR departments are perceived as people who play the so called “watchdog” role but not a cooperative role. The sharing of this information and making people aware of the strategic benefit might assist in putting the human resource strategy on the strategic plans of the organisation.

Noe (2008) defines a business strategy as a plan that integrates the goals, objectives, policies and actions of the organisation. Noe (2008:47) believes that there is a link between the business strategy and training. Training should assist employees to perform their duties efficiently which eventually cascades into meeting the main goals of the organisation. Chanda et al. (2010) concluded that the findings of the study indicated that when the human resource policies and processes are integrated with the business strategies, they tend to improve the performance which will make a significant impact on the strategic needs of the organisation. In addition, the Wegmans’ evolution of training roles highlights that training should focus on training initiatives that teach employees to improve their performance and organisational performance (Noe 2008).

The American Standards of Training and Development (ASDT) held Benchmarking Services Awards in 2005 which aimed at acknowledging companies and organisations that were devoted to training and which also recognised training’s significant role in improving performance. During the awards, ASDT members came to the conclusion that the companies that invested in training expenditure were likely to improve in achieving their objective of speeding up

organisational performance. Guest's model shows that the Human Resource policies and procedures can contribute towards organisational performance (Guest 1987 cited in Thang et al. 2010). Some of the benefits of training and development that employers should consider are that training and development can lead to high performance, reduction of errors, high problem solving outcomes, reduction of production costs in the long term, and the reduction of absenteeism, labour turnover and grievances (Noe 2008:201).

This can be determined by conducting return on investment exercises which are done to measure the impact of training and development (Evaluation of HRD Guide 2010). If the impact of training and development is measured by pointing to financial and non-financial benefits, it might convince the management that training can make an impact on the organisation's performance.

According to Hua et al. (2011:25), it is the line manager's responsibility to identify the skills deficiencies of employees when executing their duties and also to report challenges to top management. Line managers should ensure that their subordinates are trained and developed on an ongoing basis. Jain and Murray (1984:98) indicated that training and development should be based on demonstrated needs and it must be fully supported by the managers of those being trained. This will assist in the integration of training and work. Sometimes officials find it difficult to practise what they have learnt if the management is not familiar with the training programme. Also, organizational procedures and processes are rarely changed by a junior person. These discrepancies mentioned above cut-across the public and private sector, both nationally and internationally, as Christensen (2005) and other authors have commented on these discrepancies.

The training section within the human resource department is mainly responsible for the coordination of training programmes and the procurement of training providers, and managers should be the ones who identify the training need based on their sections' performance and who recommend officials for training. The line managers can also play another role of evaluating the impact of training after completion, determining if there is any transfer of skills, and calculating the return on investment in terms of increase in profit or improvement of service delivery (Evaluation of HRD Guide, 2010). The line managers should work with the training section to determine the effectiveness of training and development programmes. Studies show that, if the supervisor and line managers are implementing the training programmes accordingly and offering opportunities for growth, this can result in a higher degree of transfer of skills (Hua et al. 2011). Managers' involvement in training and development is vital for the success and progress of the organisation.

## **2.5.4 Performance Management**

Performance management is defined as a systematic assessment that shows how the employees are performing against the work standards set in their job. This assessment is done by the employees together with their supervisors (French 2003).

Moreover, some of the training interventions and other supporting programmes such as bursaries, counselling and promotion decisions emanate from the performance review outcomes. If employees are underperforming then there are relevant interventions that can be proposed. The manager should investigate what is the cause of the underperformance so that necessary intervention can be implemented in order to improve poor performance. For an example, if the employees are underperforming due to personal problems which the individual is going through that cannot be solved by training, the best intervention is to refer the individual to the Employee Assistance Programme (EAP) section for counselling and other professional assistance. The purpose of performance reviews is to determine if the duties that are undertaken by the employees are contributing to the strategic objectives of the organisation. If the employees perform exceptionally well then those employees deserve the performance incentives that will encourage them to maintain the standard or improve even more. Van der Westhuizen (2011:266) spelt out the objectives of performance management in the public sector:

- Ensure that the public sector employees know what is expected of them;
- Inform the public sector managers if the employees' performance is meeting the strategic objectives of the sector;
- Identify poor performance;
- Improve poor performance;
- Recognise and reward excellent performance;
- Increase motivation and job satisfaction;
- Identify training and development needs;
- Assist in career planning; and
- Provide information for HR planning.

Hellriegel et al. (2008) indicate that managers have a responsibility for motivating their subordinates through one-on-one communication, i.e. more personally. Managers should also assist employees to set-up realistic goals which are challenging but achievable. There are popular theories around motivation in the workplace. The Herzberg two-factor theory is the most relevant theory that supports this discussion.

Herzberg two-factor theory is about two aspects that can lead to job satisfaction or job dissatisfaction. Firstly, the motivation factors which keep employees motivated and which lead to job satisfaction are when there is recognition and acknowledgement, delegation of authority, growth, development, innovation etc. These factors tend to create a level of satisfaction in the workplace.

The hygiene factors are non-work related factors but which have a strong impact on the work and these factors may create dissatisfaction. These aspects pertain to the environment that is not conducive for working, such as responsibility levels, working conditions, stringent policies and procedures, supervision, job security, flexibility, benefits etc (Hellriegel et al. 2008:274).

French (2003) suggested that the best appraiser is the immediate supervisor because the supervisor oversees performance of his/her subordinates. However some organisations proposed that the individuals should conduct self-assessments which are verified by supervisors. Blštáková (2010:81) defines performance management as not only the quantity and quality of the individual's work, but it also includes attentiveness, approach to work, work behaviour, discipline in following safety measures, presence and absence at the workplace, relationship with colleagues and other workers who come in contact with the individual when performing his/her job.

These reviews are normally done quarterly or bi-annually or annually. However, the supervisors are encouraged to conduct ongoing informal performance reviews in order to evaluate the subordinates' performance on a daily basis (French 2003). This will assist when subordinates come across challenges in executing their duties, then the supervisor could easily pick it up and come up with possible recommendations in order to assist his/her subordinate. This review can have a negative or positive effect on the individual because it is human nature that people do not like or enjoy to be assessed unless if they already know that the outcome will be positive.

From the definition given above, it can be seen clearly that performance management is not primarily a human resource responsibility because the line manager is the relevant person to verify the aforementioned conditions of work. Performance management is an important system that can be implemented in the whole organisation. Unfortunately, the management often underestimates it and perceives it as one of the human resource activities that are an obstacle in their way of managing the organisation.

The study that was conducted in Canadian businesses by Murray and Dimick (1978) indicated that there is low consistency between what is stipulated by the performance management prescripts and what is actually done by the line managers (Murray and Dimick in cited Jain and Murray 1984:99). The study showed that 80% of managers do not follow the performance management system and 30% of managers do not carry out the performance appraisal process in full. In most instances, the performance management system was taken as a system that cannot be used to evaluate progress and for making decisions on promotion, transfers or merit pay increases.

Kroon emphasises that the performance management system forms part of various decisions that are taken in the business which pertain to personnel issues such as training and development, promotion, transfers, demotion, dismissal, salary adjustments and financial incentives (1995:317). The public service should offer career development opportunities that advance the individual's performance and progression. All unnecessary career barriers should be eliminated, such as career advancement or channels for moving up the ladder so that the public sector can be a pleasant environment to work in (Berman et al. 2013). Henderson (2011:2) mentions that dealing with human resource decisions has been accelerated and has added more burden to line managers consequently increasing the effectiveness of the organisation.

### **2.5.5 Leave Management**

The SMS Handbook (RSA:2003) stipulates that leave should be well managed in a way that considers operational requirements and puts service delivery first. However, the contradicting issue is that the expiry date of leave days must also be taken into consideration. In the public sector the vacation leave that is not utilised from the previous cycle expires on the 30<sup>th</sup> of June of the following calendar year, which is annual vacation leave days that are accumulated in the calendar year (SMS Handbook, RSA 2003:8). However, the above-mentioned measure is overlooked if there are internal arrangements between employees and their line managers due to operational requirements.

This handbook also states that leave credits must be accurately recorded and updated timeously so that the leave management system can be a true reflection of leave utility and accumulation. Nevertheless, there are challenges that are faced by the management in managing leave of absence in the workplace. The main challenge is that the line managers are unable to manage, trace and keep records on who was absent on what day for how long and supervisors might not know if the leave application form was submitted to the human resource department or not, as required by the organisation's policies and procedures.

This is as a result of inaccurate information that is given by the employee or some of the absences are not properly recorded and timeously reported. For instance, if the manager is out of the office for the whole week, it would be difficult for the manager to be aware of who are absent from work if employees do not report their absence on time. There are discrepancies when it comes to leave management, which is why the human resource section should work closely with line managers in order to record information accurately and adhere to HR policies. Managers have a vital role to play to ensure that the leave provisions are accurately implemented and that there are stringent measures to deal with mismanagement of leave.

The article that was written by Howarth (2005) indicates that many managers are avoiding the issue of managing leave in their respective sections because they tend to feel uncomfortable about asking their subordinates about personal issues. On the other hand absenteeism cost organisations a fortune which has a direct impact on productivity, profit and/or service delivery. Haswell (2003:16) recommends that organisations should give this responsibility of leave management to line management and human resource personnel so that it would be easier to take disciplinary procedures against the employee who is abusing leave. The SMS Handbook (RSA,2003) also emphasises that employees should always be aware that leave is an entitlement not a right; that permission must be granted and the necessary documents must be submitted prior to taking leave. The Department of Public Service and Administration has developed the determination of leave guidelines for employers to adopt, taken from the Basic Conditions of Employment Act, (RSA, 1997:11) which stipulates the regulations that must be followed when it comes to leave of absence in the workplace and public holidays are not regarded as annual leave. The guides state the following:

- Workers must have vacation leave of least 22 days at the beginning of the leave cycle and 1 day after 17 days worked for temporary employees. The annual leave must be made available at the beginning of the year so that employees can use their leave, spreading it throughout the year. Moreover, on the tenth year of service, annual leave credit changes to 26 days. But when employees leave the public sector they will only receive leave payout of 22 days not of 26 days (SMS Handbook RSA, 2003:10).

This also shows how crucial it is to maintain accurate records of leave credit because even leave payouts can be calculated incorrectly (Basic Conditions of Employment, RSA, 1997:16).

The Basic Conditions of Employment Act states that employees shall be entitled to 6 weeks of sick leave for a period of 3 years, however if employees have worked less than 6 months then they are only entitled 1 day after 26 days worked (RSA, 1997:13). The employee must report

his/her inability to be present at work to the immediate supervisor or the next level of supervision verbally within two hours of the starting time of the first day of his/her absence.

Further, the SMS Handbook (RSA 2003,14-15) highlights that a medical doctor's sick note is required if the employee has been absent from work for more than 2 days, which will be a proof of illness. But if there are sick leave patterns of 1-2 days detected then it is the line manager's discretion to request the doctor's sick note even if the employee was on sick leave for 1 day.

The Public Service Regulations Act (RSA, 2001:22) also outlines that if the employee fails to produce the sick note then the line manager must request human resource personnel to convert that sick leave to annual leave, or be regarded as leave without pay, if the employee has insufficient leave credits.

In the public sector there are leave provisions that apply to every public sector employee which are in terms of the Determination of Leave of Absence in the Public Service which is under the Basic Conditions of Employment Act. This states that if sick leave is exhausted before the end of the sick leave cycle the employee should apply for temporary incapacity leave which is administrated by the Independent Health Risk Managers who advise the Departments if leave should be granted or not (SMS Handbook RSA, 2003:15). However, employees must produce a certified medical certificate from a registered Medical Practitioner.

This leave is called short period incapacity leave if the absence days are less than 29. But if incapacity lasts for more than 29 days then it is regarded as a long period of incapacity as per Section 23 of the Basic Conditions of Employment Act (RSA, 1997). Permanent incapacity leave is granted when the employees' conditions have been assessed by the Independent Health Risk Managers and confirmed that it is a permanent condition. Haswell (2003) suggests that the employer may need to come up a rehabilitation strategy and with support programmes that will assist employees who have become incapacitated. This may lead to termination of contract if there are no other possible solutions to the condition.

According to the SMS Handbook (RSA,2003:21), family responsibility leave shall be granted when an immediate family member is sick or when the parent, child or spouse dies. But, family responsibility leave applications must be accompanied by proof of illness or death. The employee shall be granted a maximum of 5 day's paid family responsibility leave for utilisation in the event that the employee's parent, dependent child, spouse/life partner is sick or dies, or if an immediate family member dies.

According to the Basic Conditions of Employment Act (RSA,1997), the immediate family members are employees' parents, adoptive parents, grandparents, children, adopted children, grandchildren or siblings (RSA, 1997:15). If an extended family member dies then the employee shall take annual leave not family responsibility leave.

The Basic Conditions of Employment Act (RSA 1997) further states that employees who are pregnant shall be granted maternity leave which is 4 consecutive months but the pregnant employees must take this leave 1 month before their due date, unless there is an agreement between employees and their line managers where the health issues are safeguarded.

According to the Basic Conditions of Employment Act (RSA 1997) the employee must inform her line managers within the last trimester when she intends to take maternity leave. This can assist managers to explore alternative ways to ensure that service delivery continues. The Act also stresses that no employees work within the first 6 weeks after the child is born even if there is a miscarriage.

For study leave the employee shall be entitled to 2 days special leave for study and one day for examination per module which should not exceed 10 days. If employees are studying through research then s/he will be entitled 2 days per research seminar or preparation. Lastly, all other leave provisions differ depending on their nature and such leave is granted once approval has been obtained from the head of authority for leave e.g. leave for shop stewards, leave for national or provincial sport purposes, resettlement due to transfer, isolation on medical grounds, natural disaster leave, etc. (Basic Conditions of Employment RSA, 1997).

The leave application form must be completed by the employee, supervisor, manager and human resource practitioner. As has been mentioned before, the manager shall be responsible for ensuring that all these terms and conditions are followed correctly because the employees report to line managers on a daily basis. Further, managers are in the right position to check who was absent on a certain day.

## **2.6 Summary**

This chapter looked at the key human resource policies and procedures that are in line with relevant human resource legislations. In the above discussions there are arguments that indicate that human resource strategies should be aligned to core business practices, recruitment strategies, training and development programmes, and the assessment of individual performance should feed towards the core functions of the organisation. It is critical to make people management the most important priority for the business in order to balance profit or service delivery and individual performance. It is therefore the responsibility of the employer to ensure that there is a smooth progression in terms of development as well as obtaining higher levels in the structure without compromising the standards. In some organisations, it is harder to promote internal people because of too stringent measures that are implemented in the department. Sometimes the management finds it less challenging to recruit external people than internal. The following chapter is on the overview of the public service in South Africa since this study is about the management of human resources in the government sector.

## **CHAPTER 3: OVERVIEW OF THE PUBLIC SERVICE IN SOUTH AFRICA**

This chapter will be focusing on the public service at a glance, where the study is done in the case of the KwaZulu-Natal Provincial Treasury. It will provide an overview of the national government, as well as provincial and local government and the key policies and procedures of government which relate to the study. Lastly it also includes the policies and procedures of the KwaZulu-Natal Provincial Treasury where the study was conducted.

### **3.1 Human Resource Management in the South African Public Sector**

According to the White Paper on Human Resource Management for the Public Service (RSA 1997:9), government has appointed approximately 1.2 million people who execute the government programmes in order to achieve the broad government goals. The most valuable assets in the Public Service are people as they drive the key programme which feeds into the existence of the sector.

The Public Sector is the largest employer in the country for there are more than one million people who are employed in the public sector in South Africa (DoL Commission Report on Employment Equity Report, 2013). The public sector implements government policies and programmes. More than half of South African citizens depend on the state for their basic needs to be met. Van der Westhuizen et al (2011:3) state that the effectiveness of the public sector determines ability of country to meet its main objectives of serving the citizens. This is strongly influenced by the performance, honesty and integrity, motivation and commitment of the public servants. The management of human resources is one of the critical aspects that requires stringent management because it has a positive or negative impact on achieving the government's objectives.

According to the Minister of Provincial Treasury (Strategic Plan, 2010-2015) the linkage between strategic plans and the human resource policies can assist the public sector to improve performance (service delivery). There are common questions that are posed by managers both in the private and public sectors, about how the Human Resource function can assist in improving the organisational performance. The Human Resource function can be viewed as the human problem function which has nothing to do with organisational performance (Christensen 2005). However, Van der Westhuizen et al. (2011) strongly believe that studies show that the Human Resource function can have a positive impact on service delivery if Human Resource policies and procedures are followed correctly by the managers and employees of the public sector.

The Department of Public Services and Administration (DPSA) is responsible for formulating policies and procedures for the public service administration such as policies on staffing, performance management, remuneration etc. DPSA has developed the Senior Management Services (SMS) handbook (RSA 2003) for the public sector which clearly sets out the rules and regulations for SMS members. This handbook serves as a guide to all the managers in all spectrums of management and leadership in the public sector and it aims at strengthening leadership and management in the public sector in a professional and uniformed manner. The handbook touches on the common competencies that all managers should possess and also the role and responsibilities of every public sector manager. The SMS Handbook seeks to encourage good labour pro-active practices in the recruitment and selection of senior managers in the public sector and also gives guidelines on how to appoint high quality potential senior managers (SMS Handbook, RSA 2003:1).

The Minister of DPSA (cited in SMS Handbook, RSA 2003) states that the public sector managers have a responsibility for ensuring that the physical resources and human resources be managed and used effectively for pursuing service delivery. There are eleven core management competencies; strategic capabilities and leadership, programme and project management, financial management, change management, knowledge management, service delivery innovation, problem solving and analysis, people management and empowerment, client orientation and customer focus, communication and honesty and integrity. Each manager in the public sector should possess these competencies for they have a strong impact on management and leadership practice. People management is one of the competencies that each manager must have as per the SMS handbook for the public sector.

### **3.2 Overview of the KwaZulu-Natal Provincial Government**

The KwaZulu-Natal Provincial Government Executive Council is made up of 16 Departments which includes the Office of the Premier headed by the Members of the Executive Council (MEC's). The Head of the Executive Council is the Honorable Premier, who is the Political Head of the Province of KwaZulu-Natal.

### **3.3 KwaZulu-Natal Provincial Treasury**

The KwaZulu-Natal Provincial Treasury is one of the provincial departments which plays a supporting and monitoring role to other provincial departments, municipalities and public entities regarding fiscal and financial management. The main line functions of this department are to ensure that the assets, revenue and liabilities are well managed as prescribed by the Public Finance Management Act (PFMA) and the Municipal Finance Management Act

(MFMA) (KwaZulu-Natal Provincial Treasury Strategic Plan 2010). This department is strongly driven by law and policies since it renders monitoring and supporting services to other departments. Its role is not the same as the other departments in the province because of the nature of its existence, which is to assist other departments and municipalities to practice sound financial and fiscal management and good governance (KwaZulu-Natal Provincial Treasury Strategic Plan 2010). The head of department emphasises that there is a strong correlation between efficient cash management and service delivery. Professionalism, commitment, responsibility, service excellence and financial discipline are the core values that instill a different culture compared to other departments (KwaZulu-Natal Provincial Treasury Strategic Plan 2010). The KwaZulu-Natal Provincial Treasury consists of five functional programmes, namely, Programmes 1-5 which are headed by the Senior General Managers as displayed below in figure 3.1.

### **3.3.1 Programme 1: Administration**

This programme is mainly responsible for providing support services to the other four line function programmes. The following sub-programmes are under programme 1 of Human Resource Management and Development, IT Management, Office of the MEC, Office of the Chief Financial Officer and Corporate Services (KwaZulu-Natal Provincial Treasury Strategic Plan 2010).

### **3.3.2 Programme 2 : Fiscal Resource Management**

Fiscal Resource Management focuses on providing treasury functions which are stipulated in the PFMA and Treasury Regulations. Fiscal Resource Management should ensure that there is effective management and monitoring of the provincial and local government fiscal resources. The directorates that are under this programme are Municipal Finance, Economic Analysis and Public Finance.

### **3.3.3 Programme 3: Financial Management**

Programme 3 is responsible for providing financial management support to other provincial departments, municipalities and public entities. Financial Assets and Liabilities, Supply Chain Management, Public Private Participations, Financial Reporting and Norms and Standards are the sub-units for programme 3.

### 3.3.4 Programme 4: Internal Audit

This programme offers internal auditing services to the provincial, local government and public entities. The main focus is to provide an independent objective assurance and consulting service for internal controls, risk management and good governance as prescribed by the PFMA, MFMA and Treasury Regulations. This programme is made up of Assurance Services, Risk Management (Advisory Services) and Forensic Services.

### 3.3.5 Programme 5 : Growth and Development

This programme is located in the Office of the MEC of the Provincial Treasury. Its aims are to run all special projects, community development programmes and awareness campaigns. All these programmes are driven by the MEC and her team.

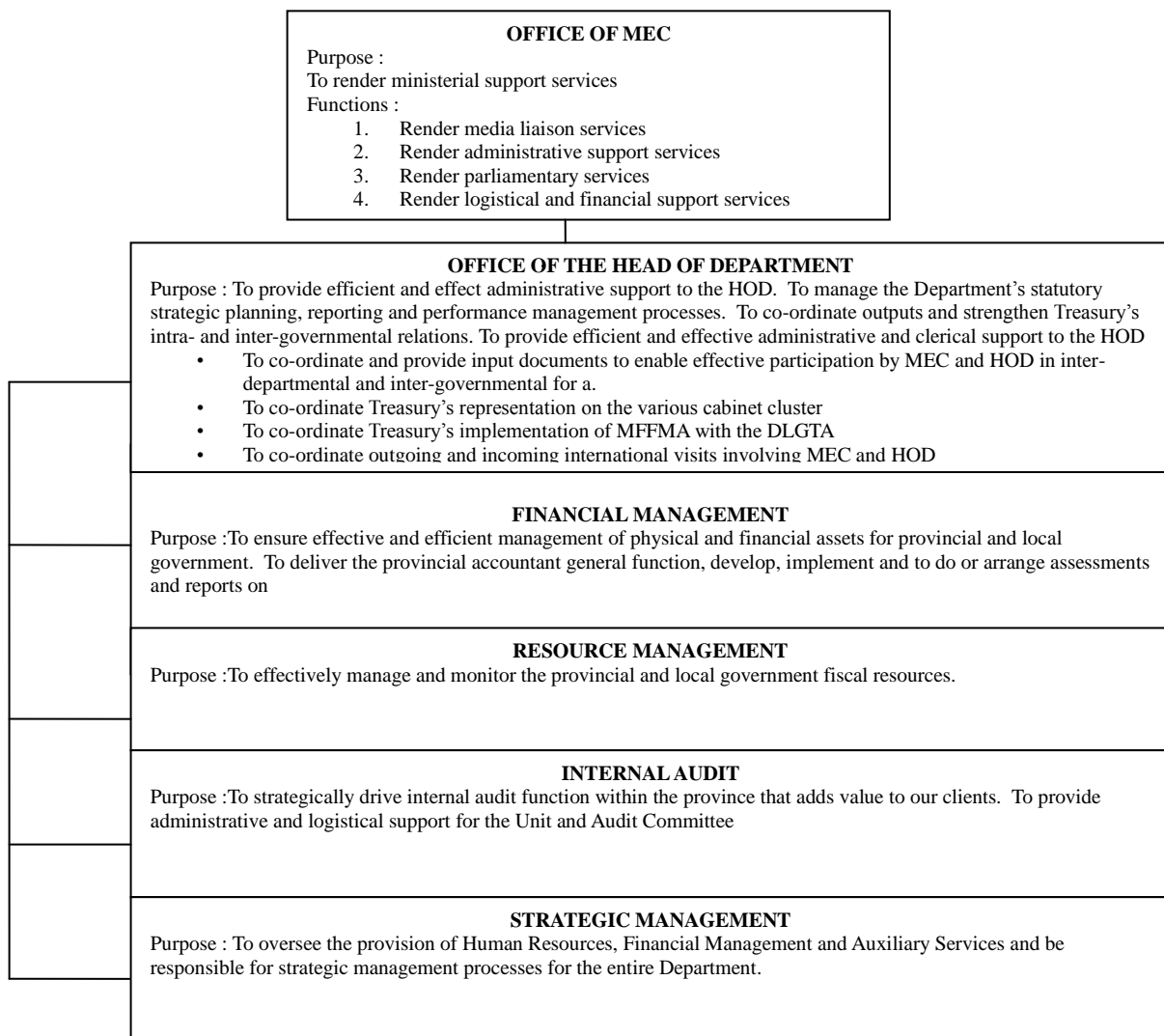


Figure:3.1 (Source: KwaZulu-Natal Provincial Treasury Strategic Plan 2010).

According to the employment statistics drawn from the Persal system for the Provincial Treasury in KwaZulu-Natal, the age group statistics are as follow:

AGE GROUP	Total
>55	3.92%
<35	62.90%
35-55	33.18%
Grand Total	100.00%

*Table 3.1 (Source: Persal Report April 2013-1)*

The table above illustrates that this department is made of both generation X and generation Y, however it is predominated generation X.

Count of salary level 1-8	
Salary level 1-8	47.34%
Salary level 9-16	52.66%
Grand Total	100.00%

*Table 3.2-(Source: Persal Report April 2013-2)*

Most of the personnel for Provincial Treasury are officials who are at salary level 9-16 which is illustrated above.

### **3.3.6 KwaZulu-Natal Provincial Treasury- Human Resource Management and Development**

Human Resource Management and Development (HRM & D) within the KwaZulu-Natal Provincial Treasury provides the overall strategic human resource management support services to the department. This directorate comprises of four components, namely, Labour Relations, Employee Wellness Programme, Employment Practices / Human Practices, Human Resource Planning, Systems and Training (KwaZulu-Natal Provincial Treasury Induction Manual 2010). Each sub-component differs from the other in the HR services that are provided. The overview of each sub-component is as follows:

#### **3.3.6.1 Labour Relations**

Labour relations aims at promoting sound labour relations within the department. There must be an effective grievance procedure and disciplinary procedure (KwaZulu-Natal Provincial Treasury Induction Manual 2010).

- Grievance Procedure - A complaint refers to dissatisfaction of a negotiable nature, and can usually be explained or corrected with little effort by the supervisor.

- Disciplinary Procedure - Discipline is applied when an employee has broken the workplace rules.

#### 3.3.6.2 Employee Assistance Programme

This sub-component is aimed at improving the quality of life of employees by providing support in respect of the areas indicated below, but not limited to them (KwaZulu-Natal Provincial Treasury Induction Manual 2010).

- Stress (family, social, job, etc);
- Substance abuse (alcohol, drugs, prescriptions/medication);
- Management of HIV/AIDS and other dread diseases;
- Marital, family and relationship problems;
- Workplace violence and trauma counseling;
- Domestic violence;
- Sexual harassment;
- Psychological problems;
- Financial management problems.

#### 3.3.6.3 Human Resource Practices / Employment Practices

All the benefits issues of employees are processed and coordinated within this sub-component. It deals with the following:

- HR Administration;
- Organisational Design and Job Description;
- Job Evaluation;
- Appointments, Transfers and Salaries;
- Performance Management System;
- Departmental Structure;
- Records Administration of HR related issues i.e. HR Registry (KwaZulu-Natal Provincial Treasury Induction Manual 2010).

#### 3.3.6.4 Human Resource Planning, Systems and Training

Lastly this sub-component provides the HR services which are related to human resource planning and systems, recruitment and selection and human resource development (KwaZulu-Natal Provincial Treasury Induction Manual, 2010). The human resource planning, systems and training component is responsible for the following:

- Recruitment and selection processes;
- Compilation and implementation of Human Resource Plan, Employment Equity Plan, Workplace Skills Plan;
- Coordination of training interventions, learnership programme, internship programme, in-service traineeship and Adult Basic Education Training.

### **3.4 KwaZulu-Natal Provincial Treasury Challenges**

The Head of Department mentioned in the Annual Performance Plan 2012/13 that the biggest challenge is that organisations that do business with government encounter payment delays which are as a result of bureaucratic processes that must be followed before the payments are credited to the business's account. This department launched a new campaign called "Pay-on-time campaign" for the 2012/13 financial year in order to address this challenge. Since the KwaZulu-Natal Provincial Treasury plays a monitoring role to other provincial departments then it is crucial that this department comes up with innovative ways to speed up the service delivery for fiscal and financial management. Financial discipline and management is crucial for the effective functioning of every organisation and good government is therefore a cornerstone of effective service delivery (The KwaZulu-Natal Provincial Treasury Five Year Strategic Plan, 2010/2015).

The Induction manual (2010) defines corruption as an unfair advantage that is given to certain people because they can afford to bribe government officials to perform special favours.

According to the Prevention and Combating of Corrupt Activities Act 12 of 2004 (RSA, 2004) there are different forms of corruption which are as follows:

- Bribery: Taking money to give people preferential treatment.
- Embezzlement: Stealing money or resources that are supposed to be under your control.
- Fraud: Making false claims for benefits.
- Extortion: When a public official forces someone to give them benefits in exchange for acting or not acting in a particular way.
- Abuse of power: Using one's power or position of authority to improperly benefit or discriminate against another person.
- Abuse of privileged information: Using information that the person has access as job requires benefit someone who can make money from it.

- Favouritism: Unfairly providing services or resources to friends.
- Nepotism: Giving jobs or services unfairly to family members.

All the above actions are illegal in South Africa and are thoroughly covered in the Prevention and Combating of Corrupt Activities Act 12 of 2004. Government officials are not allowed to accept anything from the public that is meant to make them favour that person above others. This Act stipulates guidelines on how to deal with crime in the workplace and the department of Treasury is responsible for identifying and eradicating fraudulent activities in the public sector. The government has also launched anti-corruption strategies like the anti-corruption hotline which is a toll-free national call where the public can report any activities that are related to corruption.

This department monitors and evaluates the provincial departments on how revenue, assets and liabilities of the states are managed and also monitors the implementation plan for the provincial recovery plan in order for the province to move from the deficit which was a result of overspending by big provincial departments. The KwaZulu-Natal Provincial Treasury Strategic Plan 2010/2015 states that there was a huge drop in revenues generated in the province, which forced the whole province to spend its resource economically and efficiently. This resulted in implementing the cost-cutting measures as part of the recovery plan, which was launched in the 2012/2013 financial year. These measures aim at ensuring that the departments do not overspend on unnecessary expenditures and also eliminate the following expenditures which are outlined in the Public Service Financial Management Act (RSA, 1999).

- Unauthorized expenditure - overspending on monies allocated to a department or expenditure for purposes not authorized in the budget.
- Irregular expenditure - expenditure on contracts which have been awarded contrary to the provisions of the state tender legislation.
- Fruitless and wasteful expenditure - expenditure that was done in vain and would have been avoided if reasonable care/processes had been exercised.

The departments were expected to reduce their costs and do more with fewer resources in order to remain within the new reduced baselines. The cost cutting measures also included the following:

- Departments shall not incur expenses for catering for internal meetings, i.e. for meetings attended only by internal persons. Departments shall not incur expenses for alcoholic beverages except for instances where alcohol is to be

served at functions relating to state banquets, the promotion of South Africa and any of its goods and services or the hosting of foreign dignitaries.

- No team building exercises and social functions including year-end functions are to be financed from the department budget or by any suppliers or sponsors.
- Overnight accommodation will be limited to instances where the distance by road exceeds 500 kilometers to and from the destination (return journey), except where a secondment of a lengthy period has been arranged. Any exemptions sought to the above must be submitted to the Head of Department of Provincial Treasury via the relevant Senior General Manager for consideration and approval (KwaZulu-Natal Provincial Treasury Cost Cutting Measures Circular, 2013).

### **3.5 KwaZulu-Natal Provincial Treasury Achievements**

Over the period of the 1996/97 to 1997/98 financial years the Province was experiencing the worst financial difficulties ever with the Province operating at a deficit of billions of rands (internet 3). During the 1990s the Treasury Department managed to clear the debt of R2 billion and the Province was pronounced debt free, through the implementation of the anti-fraud and stop corruption campaigns that were introduced in 1990s. The KwaZulu-Natal Treasury has managed to bring in quality staffs who are experts in various field. These are of a relatively young age therefore ensuring long term sustainability of financial management reforms (internet 3). This coincides with the award that this Department received as the Best Human Resource in the Province since 2007 as well as the prestigious First National Bank-KwaZulu-Natal Top Business Portfolio award for its contribution to socio-economic development in the Province of KwaZulu-Natal (Annual Performance Plan 2012/13).

The abovementioned challenges influence how the Department operates including how human resources are managed. The financial constraints that were experienced in the previous year (2011/12) as well as the cost cutting measures have had a huge impact on the financial resources that are made available to the staff i.e. the number of people who receive performance bonuses depend on the availability of funds. The training and development opportunities that are offered are limited which also affects the staff morale. The cost cutting measures have been criticised but the Department has benefited positively on regaining control of financial management and cash flow management not only for the Department but also for the whole provincial government.

### **3.6 Summary**

It is imperative for the study to have a chapter on the government which outlines how government operates. This chapter gave an overview of role that the KwaZulu-Natal Provincial Treasury plays in the province as well as the initiatives that are implemented in the Department. The aim of this chapter was to provide background on how this Department fits into the provincial and national government since it flows under the wing of government where the study was conducted. The next chapter will be focusing on the methodology that was used during the study to collect and analyse data collected from the KwaZulu-Natal Provincial Treasury.

## **CHAPTER 4- RESEARCH METHODOLOGY**

### **4.1 Introduction**

This chapter will be focusing on both the research design and the research methodology which was used for this study as briefly mentioned in the Chapter 1. Harwell (2011) defines research design as the reflection or summary of the whole research project from identifying the research problem to reviewing relevant literature, then the formulation of the research design and method. It also involves how the researcher intends to collect data. On the contrary, some researchers do not separate research design from research methodology but regard research design as a methodology where the researcher outlines data collection and data analysis. Research design and research method are sometimes used interchangeably.

The key aspects that will be addressed are as follows: research purpose and objectives, research design and questions, research methods, and research analysis. This empirical study of the project requires both research approaches i.e. qualitative and quantitative. These two approaches gave the researcher in-depth knowledge and information to make informed conclusions about the human resource policies within the KwaZulu-Natal Provincial Treasury.

### **4.2 Research Design**

Qualitative study is when data is collected and analysed qualitatively and quantitative study involves quantitative data. The features of the study are identified through a detailed research design. The researcher can either use qualitative or quantitative methods depending on the nature of the study.

#### **4.2.1 Qualitative Research Design**

Qualitative research methods focus on defining and understanding the participant's experiences, knowledge and also explore the world of thoughts (Hiatt 1986 cited in Harwell 2011). Qualitative study is a method of obtaining detailed narrative data, which can be done through case studies, interviews, questionnaires etc. Qualitative research is derived from detailed responses of participants provided during the research study which can be theories, explanation or hypotheses (Harwell 2011). McMillan and Schumacher (1997) state that the qualitative research design seeks to produce data that consists of words in the form of rich verbal descriptions rather than numbers.

This design will assist the researcher to acquire in-depth information about the human resource policies as well as the management of these policies and also find out how these policies enhance the department's productivity at the end of day. However, the qualitative method can be influenced by the researcher's experiences, perspectives or biases.

Wagner (2004) pinpoints the advantages of a qualitative research, which include the following:

- flexibility to follow unexpected ideas during research and explore processes effectively;
- sensitivity to contextual factors which are relevant for the study and of interest to the researcher;
- ability to study symbolic dimensions and social meaning; and
- increased opportunities to develop empirically supported new ideas and theories.

#### **4.2.2 Quantitative Research Design**

Quantitative methods are more objective than qualitative methods where generalization of the findings is based on the predictions. The quantitative approach allows the researcher to conclude based on the actual findings which are not open to different interpretations. Harwell (2011) states that the quantitative method is deductive as it produces results that lead to a logical interpretation.

Some researchers prefer to use mixed methods where both qualitative and quantitative methods are used. However, Harwell (2011) states that the combination of quantitative method and qualitative method requires multiple strategies to collect data and analyse it. Critiques also indicate that mixed methods can create confusion to the study, because in most instances qualitative data is regarded as secondary data to quantitative. Therefore it is crucial that the researcher analyse qualitative data separately from quantitative if mixed methods are used (Bean 2011).

#### **4.2.3 Problem Statement**

When the roles of management of human resources are not clearly defined then could lead to non-cooperation and non-compliance in terms of adherence to human resource policies which can weaken the performance and growth of the KwaZulu-Natal Provincial Treasury. This study can also assist in determining if the effective management of human resource policies can assist the department to promote

excellence and also improve performance of the staff which can eventually lead to improvement of service delivery.

#### **4.2.4 Objectives of the Study**

The study seeks to pay attention to the following:

- i. To investigate the extent of compliance with the human resource policies and procedures from the respective managers within the KwaZulu-Natal Provincial Treasury;
- ii. To investigate how leave is managed;
- iii. To determine what mechanisms are in place to deal with abuse of leave.
- iv. To investigate how managers implement performance management;
- v. To determine how the managers manage training and development in their respective directorates; and
- vi. To determine the provision of training programmes in order to assist employees to perform at their optimal levels.

#### **4.2.5 Research Questions**

Emanating from the above-mentioned objectives the research questions were formulated which were answered during this research study and conclusions have been made based on the findings. The research questions are as follows:

- To what extent do managers comply with legislative frameworks in terms of HR related prescripts?
- How do managers ensure that their subordinates attend training programmes of good quality?
- How can the provision of training development opportunities assist employees to improve performance?
- To what extent do managers implement performance management system in their respective directorates?
- How do managers ensure that leave is managed effectively and what are the mechanisms that they apply in order to avoid abuse of leave?

### **4.3 Hypothesis Testing**

A hypothesis is a statement that is about a relationship between two or more variables which can be tested during the study (Struwig and Stead 2001:36). The hypotheses for this study are as follows:

**H0:** Effective management of human resource policies can promote excellence in performance of the staff of the KwaZulu-Natal Provincial Treasury.

**H1:** Effective management of human resource policies cannot promote excellence in performance of the staff of the KwaZulu-Natal Provincial Treasury.

### **4.4 Research Site**

This study was contextually based at the Provincial Treasury in Pietermaritzburg, KwaZulu-Natal. This Department serves other government departments in the province, as mentioned in the literature review chapter. It is primarily responsible for the fiscal and financial management of provincial departments, regional offices, districts offices as well as parastatals within KwaZulu-Natal. The Provincial Treasury has two buildings within the central business district (CBD) of Pietermaritzburg: Treasury House (145 Chief Albert Luthuli Street) and Nomalanga Building (230 Langalibalele Street). This made it easy and convenient for the researcher to collect data in a geographical clustered area within Pietermaritzburg.

### **4.5 Population**

The management of the Provincial Treasury is the population of this study which comprises all the top management (salary level 15-16), senior management (salary level 13-14), middle management (salary level 11-12) and junior management (salary level 9-10). The management structure for this Department is made of 149 senior officials and they were all invited to participant and 110 managers eventual participated in the study. However, 110 managers participated which was 23 senior managers, 53 middle managers and 34 junior managers responded.

### **4.6 Sampling**

#### **4.6.1 Sampling approach**

Sampling is a crucial aspect in research where the researcher selects and sustains representation of the population statistically. Romms (2008) states that if the sample representation is done statistically and with full confidence then the research study will be also true. This will also allow the researcher to claim the empirical generalization in order to prove the trueness of the samples to the population.

There are different approaches of sampling. The researcher can choose which would be appropriate for the research aim.

#### 4.6.1.1 Probability Sampling

Probability sampling is defined as the way of giving every person/object in the population an equal chance of being selected to be part of the sample. In this research, this sampling strategy assists the researcher to be unbiased when choosing and also have confidence that the sample is statistically representative.

Romms (2008) mentions that the researcher compiles a list of people/ objects that form part of the population which is commonly known as sample frame (2008:135). Romms (2008) defines purposive sampling as one of the popular methods of selecting the sample. For this study the researcher chose one of each kind i.e. the levels of categories of management which could be a sample for top management, middle management and junior management. This assisted in ensuring that the sample is diverse enough to represent the population.

#### 4.6.1.2 Simple Random Sampling

Simple random sampling is used in this research study where management positions are listed and selected from that list randomly without favouring one over the other. There is also a systematic sampling which gives everyone in the population an equal chance of being chosen systematically e.g. selecting every second name on the sample frame. In this study, the researched obtained a list of all managers working for KwaZulu-Natal Provincial Treasury.

#### 4.6.1.3 Quotas Sampling

The researcher specifies participants who will build up the sample (Romms 2008:135). Most of the researchers select the sample units based on a certain criteria which can be age, socio-economic status or gender, etc. before they can be included in the study. For participants to be part of the study they must be in a managerial position first before the sample is randomly selected. Both random and quotas sampling was used during the selection of the sample.

### 4.6.2 Sample Cycle

Govender (2004) mentions that there are sampling components which should be considered during the selection process. Sample cycle can be divided into three: namely invited sample, accepted sample, data producing sample.

- Invited sample - everyone in the population was invited to participate in the study;
- Accepted sample - includes all participants who were willing and interested to be part of the study. This group sometimes completes the questionnaire willingly;
- Data producing sample – a group of participants who was the desired sample where the participants completed the questionnaire within the time boundaries and also provided relevant information for the study. The responses produced assisted the researcher to reach conclusions about this study.

The participants who formed part of the population were invited and most of them were keen to participate in the study. However, not all of them answered the questionnaire. Appropriately and only 110 gave answers that were relevant for the study and completed the questionnaire within the accepted parameters, which is outlined by Govender (2004). The participation was purely in the interests of participating and no incentives were given as an encouragement because incentives would have jeopardised reliability issues. Therefore some potential participants had showed an interest by enquiring about the study and the head of department provided permission for them to participate. The gatekeeper letter was provided on request to participants who required it.

#### **4.6.3 Sample Frame- List of Sample Units**

The population of this study was made up of junior, middle and senior managers of the KwaZulu-Natal Provincial Treasury. The KwaZulu-Natal Provincial Treasury had 149 Managers of which 110 managers participated in the study. According to the Table for Determining Sample Size from a Given Population (Krejcie and Morgan 1970) if the population was 140-149 then the sample size must not be lower than 103. A minimum of 34 senior managers, 50 middle managers and 65 junior managers were invited to participate in the study but only 110 returned questionnaires.

### **4.7 Data Collection**

The data was collected using questionnaires.

#### **4.7.1 Questionnaires**

Questionnaires are mostly used in mixed data collection methods because questionnaires can allow the researcher to gather both qualitative and quantitative information. Where the participant had to rate from 1-5 the HR service numerically and also provided yes and no

answers where required. Moreover, there was a part where the participant has to elaborate on that particular question and provided broad answers.

Gomm (2008) recommends that the structure of the questionnaire should allow the participant to gather relevant facts in a structured way where the easy questions which do not require too detailed responses should be in the beginning of the questionnaire. In other words, the researcher should structure the questionnaire appropriately by starting with quantitative questions before qualitative questions. This also allows the researcher to gather all levels of data i.e. categorical data, which consists of biographical data. The second level of data is the occupational category information e.g. ranks which are classified through importance and seniority. Gomm (2008) also mentions that the researcher can use some of the data which can be easily discriminated in order to ascertain the extent or the degree, like more satisfied, less satisfied.

The main research questionnaire which was used during this study consisted of two parts which are the background information of the participant and the human resource related questions. The first part has 11 questions to be completed which give the researcher an idea of the participants' demographics i.e. rank, business unit, gender, age, level of education and which section. It includes management details of the participant, for example the level of management, number of years in the management position because this might have an influence on the management style, management decision, and leadership approach of the manager.

Then the second part of the questionnaire had 24 questions which related to the management of human resource policies. This part is one of the critical elements of this research and assisted the researcher to reach conclusions about the research problem. The third part was more on general human resource information which cut across the borders, like human resource prescripts and legislations, communication frequency and communication levels and methods with the human resource directorate. The fourth section was about the general understanding of leave, management of leave and preventative measures for leave abuse. The fifth section had questions that sought to determine the understanding, application and management of performance. Then the last section of the questionnaire had questions on the training and development of staff as well as the management of the training and development budget. Each section had approximately 4-8 questions.

The research put an emphasis in the questionnaire that participation was voluntary and participants had a right to withdraw at any given time during the study. Secondly it was also highlighted that the participants' names would not be mentioned when the study results were

presented. Thirdly, it was also indicated that confidentiality would be maintained. Therefore, the participants were requested to sign the informed consent form before participating in the study as a way of showing that they agreed with the abovementioned ethical principles.

#### **4.7.2 Secondary Data**

This is one of the ways to source data which is through data and information that is readily available. Secondary data is where the research uses other people's data which is already published or not published with an aim of supporting the research's primary data (Struwig and Stead 2001). There are different ways of collecting secondary data which is from sources such as books, reports, conference papers, policy documents; internet sites, speeches, newsletters and articles. The secondary data assisted the researcher to have theoretical background on the research topic and also provided a concrete foundation for this study. It also assisted in providing understanding and relevant knowledge of human resource which also linked to objectives of this study.

#### **4.8 Data Analysis**

Data analysis is defined as a systematic process of selecting, categorising, comparing, synthesising and interpreting to provide explanations of the single phenomenon of interest (MacMillan & Schumacher, 1993). It refers to the act of transforming data which is collected with an aim of extracting useful information in order to reach conclusions. The research findings can be interpreted using different analysis techniques like descriptive or predictive data analysis etc, depending on the type of data and the research study. It was useful and advantageous for the researcher to use thematic analysis to analyse qualitative data because of its flexibility. Thematic analysis is a relatively easy and quick method to summarise a large body of data and also to pick out similarities and differences across the data set. Thematic data analysis was used to analyse qualitative data in the questionnaire through Microsoft Excel. It assists the researcher to extract in-depth and details information in questionnaires in order to understand the participants' minds. Thematic analysis is also a method of identifying, analysing and reporting patterns or themes within data. A theme captures something important about the data in relation to the research question, and represents some level of patterned response or meaning within the data set (Braun & Clarke, 2006).

Gomm (2008) highlights that qualitative data can be easily vulnerable to a researcher's view. Further, the critiques indicate that the analysis method can unconsciously give more of the views of the researcher than of the participant (Gomm 2008: 10).

Thematic analysis is strongly influenced by themes which can derive from certain theoretical ideas which already exist in the researcher's mind. Since the instrument was both in qualitative and quantitative methods the researcher analysed data using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel for quantitative questions and thematic analysis for qualitative questions and assisted in displaying data finding in a form of diagrams, graphs and tables. SPSS is the data analysis programme which is mostly used to analyse quantitative information.

#### **4.9 Reliability**

Research reliability is about whether the research instrument can produce the same results if applied in the same situation and conducted in the same way when used for a second time. It seeks to measure the consistency of the research instrument (Romm 2008:13). Denscombe (2003) states that the researcher must be confident that his/her measurement is not influenced or affected by the instrument that gives inconsistent results if the research is conducted at different occasions. A good level of reliability means that the research instrument produces the same results even if it is done at different occasions or in different environments. Reliability tests are used to determine if the research instruments are neutral in their effects. The issue of reliability is transformed into the following question "If someone else did the research would s/he have got the same results and arrived at the same conclusions?" (Denscombe 2003:273). Internal consistency reliability test which administered once and the questions are asked more than once in a rephrase way. According to Cooper and Schindler (2001) state that Cronbach Alpha increases the interrelation between two variables which is known as internal consistency. Creswell (2005) also states that internal consistent is one of the reliable methods of determining reliability and also ran Cronbach's Coefficient Alpha test in order to maximise the reliability of the questionnaire and find out how related are some variables. In this study some of the questions were posed more than one but in a different format. The internal consistent can be improved by including more items (strongly agree or strongly disagree) in the research instrument which will allow the participants to show how interested they are to participate.

#### **4.10 Validity**

It is vital that the research data be validated in order to determine whether the research results produce the intended results. Romm (2008) defines validity as the truth about the research and the questionnaire measures what it is supposed to measure. There are two types of validity that the research should ensure accuracy of a data; namely internal and external validity.

External validity is the ability of the data to be generalised with other variables across persons, settings and time; and internal validity which is the ability of the questionnaire to measure what it is supposed to measure (Welman, et al 2005). Romm (2008:13) further highlights that internal validity also seeks to prove the true reflection about the research itself. For this study both external and internal validity methods were considered. Where the instrument has a logical sense and flow which will assist participant to understand it, so that the research findings can be generalised. Govender (2004) states that it is critical that the researcher should formulate research instrument i.e. questionnaire that is simple, accessible and use understandable language which will make it easy for participant to understand in order to obtain desired responses and optimize participation.

#### **4.11 Ethical Considerations**

According to Sruwig and Stead (2001), it is crucial for the researcher to abide by ethical rules. They define ethical practice as a system of morals and rules of behaviour. This set the parameters the researcher operated under during the study. The researcher obtained ethical clearance in order to adhere to the ethical issues. Ethical practice also prevents the researcher from behaving in an unethical manner towards the participants. The participants were free to withdraw at any time during the study, and they had every right to do so.. The researcher respected the privacy and confidentiality of the participants. Any classified information received from participants will not be disclosed. During the study the researcher did not do any harm to the participants. The researcher must consider the potential risks of physical, emotional, social or any other form of harm that may be inflicted (TerreBlanche and Durrheim 2002:66).

#### **4.12 Summary**

The chapter looked at the research methodology which was used in this study, where the research questions, research design, research method and data management were outlined. The empirical study uses both qualitative and quantitative methods. The questionnaire that was used was a questionnaire which provided in-depth information about the researched topic. It also covered important issues in research such as the population, sampling method, and ethical considerations which are critical for the research study. The analysis of data collected and its interpretations will be dealt with in the next chapter.

## **CHAPTER 5 – DATA ANALYSIS AND PRESENTATION OF RESULTS**

### **5.1 Introduction**

After the data was collected using the research design and methodology mentioned in the previous chapter, the researcher conducted an analysis of the data. This chapter focuses on the presentation of the research findings and the analysis of data. These research findings are made of responses from the KwaZulu-Natal Provincial Treasury management on how human resource policies are managed in their respective directorates. The research was conducted in the Pietermaritzburg offices as this department does not have regional or district offices.

The data was collected using a questionnaire, which were distributed to senior, middle and line Managers. The Department has 149 senior, middle and junior managers who are permanently appointed and 110 managers participated in the study. The questionnaire consisted of five different sections i.e. biographical information, human resource policies and procedures, leave management, performance management, training and development and open-ended questions. Data is presented using both descriptive and inferential statistics. The inferential statistics looked at t-tests in order to determine reliability and if there were any variables that had a relationship.

The research problem of the study was regarding the implementation of effective management policies of human resources in the KwaZulu-Natal Provincial Treasury to assist in promoting excellence in the performance of the staff. The main objectives of the study seek to pay attention to the following:

- i. To investigate the extent of compliance with the human resource policies and procedures from the respective managers within the KwaZulu-Natal Provincial Treasury;
- ii. To determine how the managers manage training and development in their respective directorates;
- iii. To determine the provision of training programmes to assist employees to perform at their optimal levels;
- iv. To investigate how managers implement performance management;
- v. To investigate how leave is managed; and
- vi. To determine what mechanisms are in place to deal with abuse of leave.

## 5.2 Descriptive Statistics

### 5.2.1 Profile of Participants

This section aimed to find the biographical backgrounds of the participants which could influence positively or negatively decision making and management style.

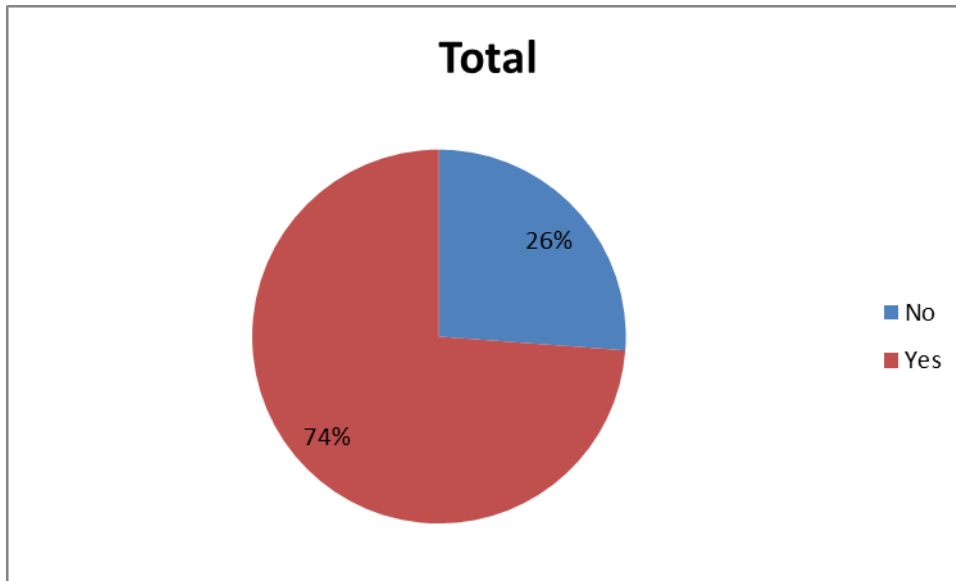


Figure 5.1- Percentage of participation

Thirty four (34) junior managers, 53 middle managers and 23 senior managers responded and 39 did not participate in the study. Above 70% responded and 26% did not respond.

Participation	Count of Level of Management
Junior manager	34
Middle manager	53
Senior manager	23
Grand Total	110

Table 5.1- Participation –level of management.

### 5.2.2 Gender Profile of Participants

Row Labels	Count of Gender
Female	51
Male	59
Grand Total	110

Table 5.2- Gender profile of participants

The staff establishment of the Department indicates that 84 employees are males and 65 are females at management levels. Further, the graph above indicates that more males participate than females which concur with race and gender statistics in the management levels. The Employment Equity Act stipulates that more than 50% of management positions must be occupied by women which will be further discussed in the next chapter.

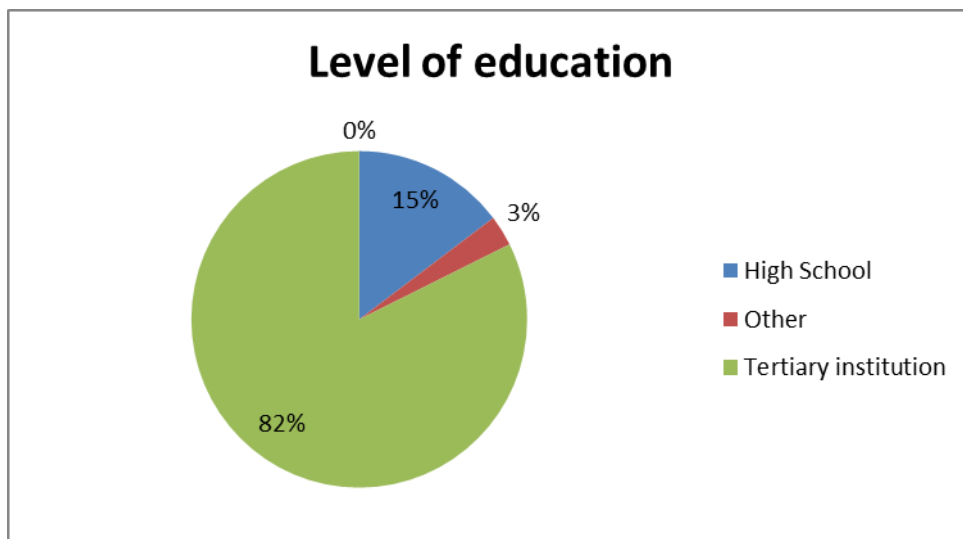
### 5.2.3 Age Profile of Participants

Level of Management	
25-34	35
35-44	44
45-54	22
<55	9
<b>Grand Total</b>	<b>110</b>

*Table 5.3- Age profile of participants*

It must be noted that most managers in Treasury are from all age groups, 9 managers are above 55 years of age, 22 managers are between 45 and 54 years of age, 44 managers are between 35 and 44 years and 35 managers are between 25 and 34, years as illustrated in the table 5.3.

### 5.2.4 Level of Education



*Figure 5.2- Level of education*

Figure 5.2 demonstrates the level of education and how many managers have tertiary qualifications, high school education and other certificates which can mean any education qualification that is not listed in the questionnaire e.g. occupational trade qualification, further education and training qualification etc. What can be highlighted is that 82% of the participants had a tertiary education and 15% only have a high school education.

### 5.2.5 Level of Management

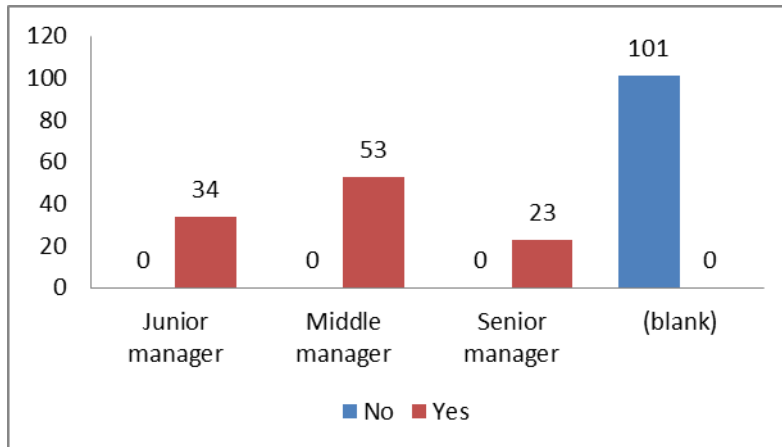


Figure 5.3- Level of management

The sample was representative of all categories of management. It can be highlighted that middle managers who participated in this study were more than 50 officials and surprisingly more than 20 senior managers participated as well, even though it was not a desired number due to unavailability of participants. Most of managers promised to complete the questionnaire however they ended-up not completing it. Furthermore, only 34 junior managers who provide direct supervision to the staff who participated in study.

### 5.2.6 Number of Years in Management Position

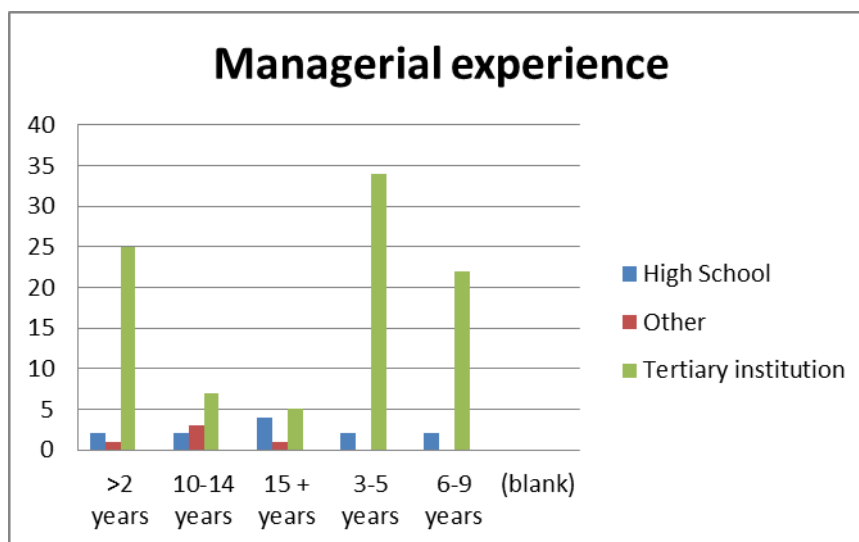


Figure 5.4- Number of years of managerial experience

Most of the participants who are in possession of tertiary qualifications had been appointed in management positions for less than 5 years and less than 5% of participants had been appointed in management positions for more than 15 years. This graph gives a clear picture of tertiary qualifications: it is one of the most crucial requirements and must be met before appointment. It is also demonstrated that most managers leave the Department before reaching 20 years of managerial service. Further, 25% of participants had 2 years or less of managerial experience.

### 5.2.7 Participants' Number of Subordinates

Number of officials under direct supervision				
Row Labels	Junior manager	Middle manager	Senior manager	Grand Total
1 - 5 employees	21	41	4	66
6 - 10 employees	9	6	7	22
11 - 15 employees	1	2	4	7
16 - 19 employees			2	2
20 + employees		1	6	7
None	3	3		6
Grand Total	34	53	23	110

Table 5.4- Participants' number of subordinates

The table 5.4 illustrates that most junior and middle managers supervised 1-5 employees and senior managers only supervised and managed more than 20 employees who participated in the study. It must also be noted that 6 managers only managed the process not personnel or their positions were pitched at managerial level even if there were no subordinates under them.

### 5.2.8 Participants' Sections

Directorates represented	Level of management			
	Junior manager	Middle manager	Senior manager	Grand Total
Auxiliary Services	3		1	4
Cash Management and Banking	1	1		2
Communications	1	1	1	3
Corporate Services			1	1
Economic Analysis	1	3	2	6
Financial Reporting	3	1		4
Forensics		3		3
Human Resources	4	3	1	8
ICT	3	2		5
Infrastructure		2	1	3
Internal Audit	3	11	6	20
Risk Management and Advisory Services	1	4	2	7
Municipal Finance	1	5	4	10
Norms and Standards		2		2
Office of CFO	4			4
Office of the MEC		4	1	5
PPP	2		1	3
Public Finance		5	2	7
Public Revenue		1		1
SCM	6	5		11
Taxation Section	1			1
<b>Grand Total</b>	<b>34</b>	<b>53</b>	<b>23</b>	<b>110</b>

Table 5.5- Participants' sections

The findings show that every directorate was represented in the study and it must be noted that the core-line functions of the Department as outlined in the literature chapter. It must be noted that most of the Internal Audit managers participated and the Internal Audit directorate is one of the biggest sections in the department. It must also be highlighted that 8 participants were from the Human Resource directorate.

### 5.3 Human Resource in General

#### 5.3.1 Legislative Frameworks

This section intends to ascertain how much managers understood and how often they consulted and enquired from the Human Resource directorate. The most known legislations and prescripts are as follows:

Level of Management	Public Service Act, 1994 as amended by Act 30 of 2007	Basic Conditions of Employment Act 75 of 1997	Employment Equity Act
Junior Manager	28	26	25
Middle Manager	40	38	35
Senior Manager	20	15	15
<b>Grand Total</b>	<b>88</b>	<b>79</b>	<b>75</b>

*Table 5.6- Most known legislations and prescripts*

The above table indicates that 28 junior managers, 40 managers and 20 senior managers understood the Public Service Act which is the most popular Act. Seventy nine (79) Managers were familiar with the Basic Conditions of Employment Act and 75 participants also knew about the Employment Equity Act.

Level of Management	Gender Equality Strategic Framework for the Public Service	Human Resource Planning Strategy for the Public Service: Strategic Framework Vision 2015	Implementation of the scarce skills framework
Junior manager	4	6	5
Middle manager	5	3	9
Senior manager	1	3	3
Blank	1	1	1
<b>Grand Total</b>	<b>11</b>	<b>13</b>	<b>18</b>

*Table 5.7- Least known legislations and prescripts*

Table 5.7 illustrates that 11 participants understand the Gender Equality Strategic Framework for the Public Service, and 13 Managers know the Human Resource Planning Strategy for the Public Service: Strategic Framework Vision 2015 and 18 Managers are familiar with the Implementation of the scarce skills framework.

### 5.3.2 Documents Submitted to Human Resource Directorate

Document submitted	Number of participants
Performance documents	103
Job descriptions	99
Training nomination forms	96
Leave forms	92
Skills Audit form	77
Recruitment document	66
Job evaluation document	38
Discipline documents	37
HR Committee nomination forms	27

*Table 5.8- Documents submitted to HR*

The majority of participants submitted the above document to Human Resources on a quarterly basis as prescribed in relevant pieces of legislations. Most of the participants submitted performance documents since they form part of the performance contracts where any performance related document must be submitted to Human Resources by the 15<sup>th</sup> of the month following the completion of a quarter. Non-compliance on performance document submission always leads to non-payment of performance bonuses and pay progression. Therefore non-compliance from directorates affects the participants' pockets. The other documents that are also submitted to HR are illustrated in the table 5.8.

### 5.3.3 Consultation and document submission frequency

Consultation Frequency		Submission Frequency	
Annually	13	Annually	13
Bi-annually	13	Bi-annually	2
Quarterly	68	Quarterly	72
Monthly	27	Monthly	15
Weekly	18	Weekly	8
Daily	3	Daily	0

*Table 5.9- Consultation and document submission frequency*

Out of one hundred and ten (110) managers, 74 managers consulted HR at some stage. The findings indicate that participants consulted HR on an annual, biannual, quarterly, monthly or daily basis. Most of the documents that are sent to HR processing are sent quarterly.

#### 5.3.4 HR Forum Participation

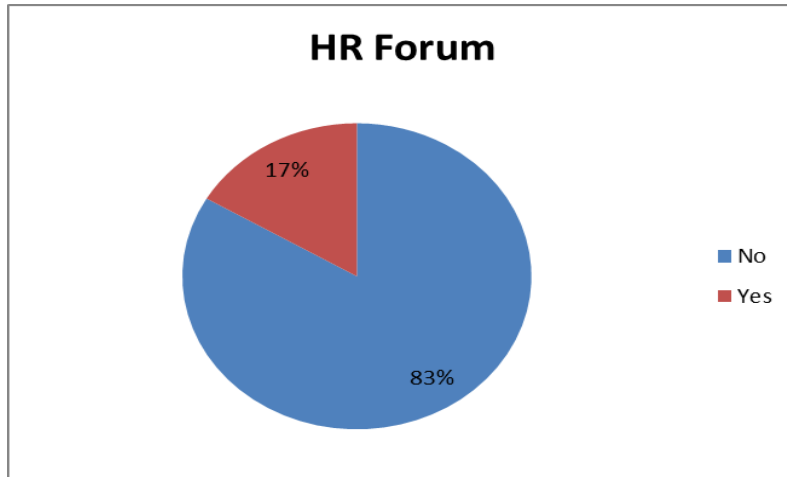


Figure 5.5- Participation in HR Forums

Figure 5.5 shows that it is only 17% of managers who have participated in Human Resource Committees and 83% of the sample did not form part of any HR forums.

#### 5.4 Leave Management

##### 5.4.1 Reporting Time of Absence

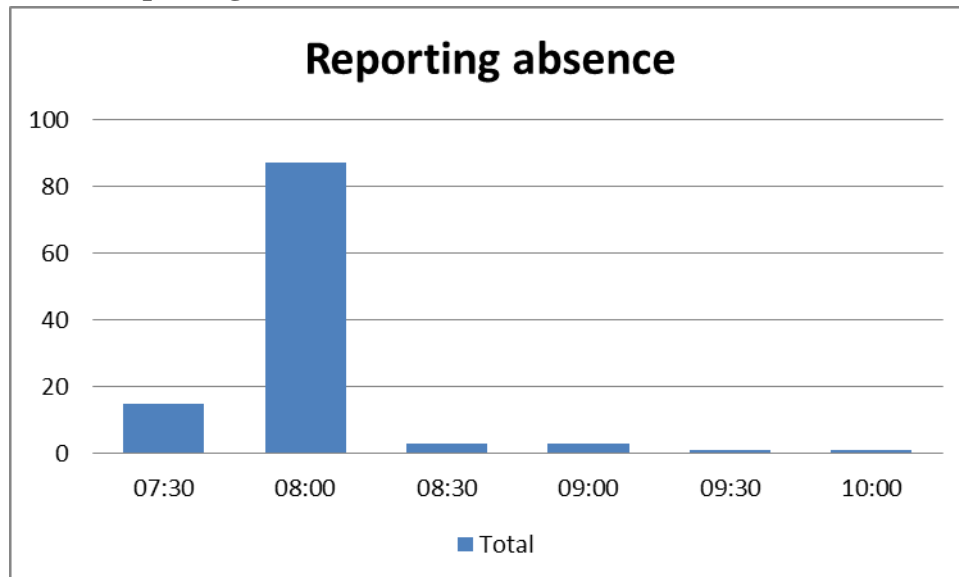


Figure 5.6- Reporting time of absence

In the literature review it was discussed how and when absence is reported. From the findings illustrated above it can be seen that most officials report their absence at 08:00 am whereas the starting time is 7:30 am. Some Managers stated that sometimes their subordinates report their

absence at 09:00 am and even at 10:00 am. One may query why absences were reported after 08:00am.

#### 5.4.2 Method Used for Reporting Absence

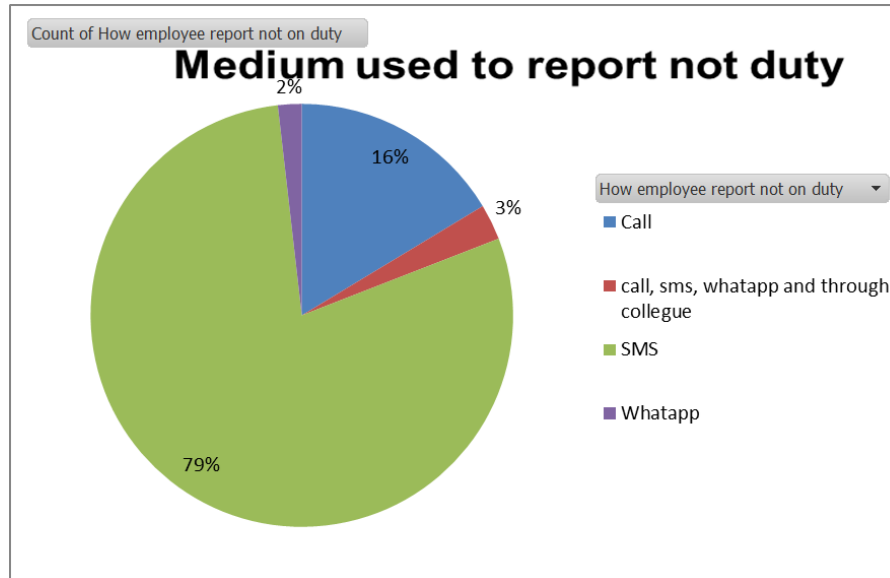


Figure 5.7- Medium of reporting absence

Figure 5.7 above points out that most people reported their absence via short messages services (SMSs). From this graph it can be seen that some officials, mostly the younger generation, used instant messages. It is only 16% who reported according to the leave policy where the subordinate should call his/her supervisor or manager. There were 3% that report their absence through all mediums (call, sms, whatsapp, and through a colleague).

### 5.5 Performance Management

This section will be focusing on performance management system which is used in this Department to monitor and evaluate performance.

#### 5.5.1 Perception about the Performance Management Programme

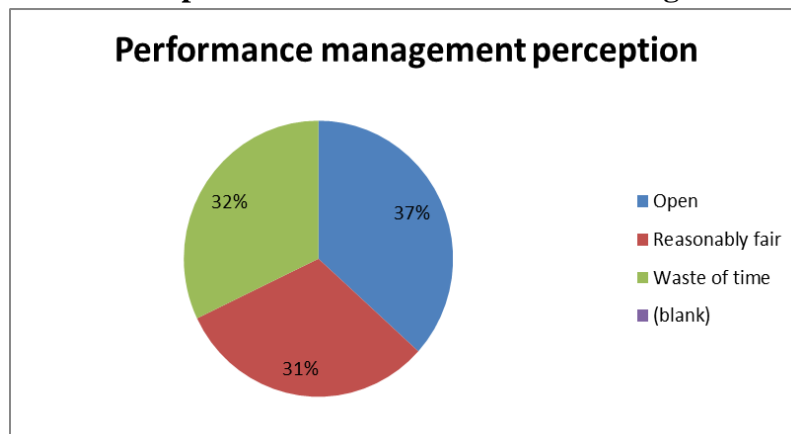


Figure 5.8- Perception about the performance management programme

The findings of the study have shown that the majority (37%) of participants felt that the performance management system and processes were open. They perceived the system as open, they did not have any hassles with the system and they found it was easy to follow the

process. Thirty one percent (31%) of the participants indicated that the processes and system was reasonably fair.

However, 32% perceived performance management system as a waste of time and they did not see any value added for it if it is not implemented accordingly. These participants felt that this system favoured some people over others.

<b>Performance management perception per level of management</b>				
	<b>Junior manager</b>	<b>Middle manager</b>	<b>Senior manager</b>	<b>Grand Total</b>
Open	13	18	9	40
Reasonably fair	10	18	6	34
Waste of time	11	17	7	35
Blank				1
<b>Grand Total</b>	<b>34</b>	<b>53</b>	<b>22</b>	<b>110</b>

*Table 5.10- Performance management perception per level of management*

From Table 5.10 above it is demonstrated that 35 managers perceived this tool as a waste of time across all levels of management and one manager did not answer this question. These figures are somehow debatable because managers have the responsibility to ensure that the system is implemented appropriately. Further discussion on this matter will be done in the next chapter.

### **5.5.2 Perception about the Performance Management Tool**

<b>Performance management tool</b>	
Complex	24
Moderate	72
On paper it's adequate but it is in fact not effective nor operates as designed	1
User friendly	12
Blank	1
<b>Grand Total</b>	<b>110</b>

*Table 5.11- Perception about the performance management tool*

From Table 5.11 it can be seen that 72 managers thought the tool was moderate and manageable and 12 managers indicated that the tool was user-friendly and understandable. Twenty four (24) managers stated that the performance management tool was too complex and very controversial. It was noted that the majority of participants who perceived the system as complicated also perceived the whole performance management process as a waste of time in

Table 5.9 above. These two questions (2 and 3) paint a clear picture of how the performance management tool in the Department is perceived. Lastly, one participant stated that the tool was meant for a good cause, that it was well developed and presented on paper, but not implementable in reality.

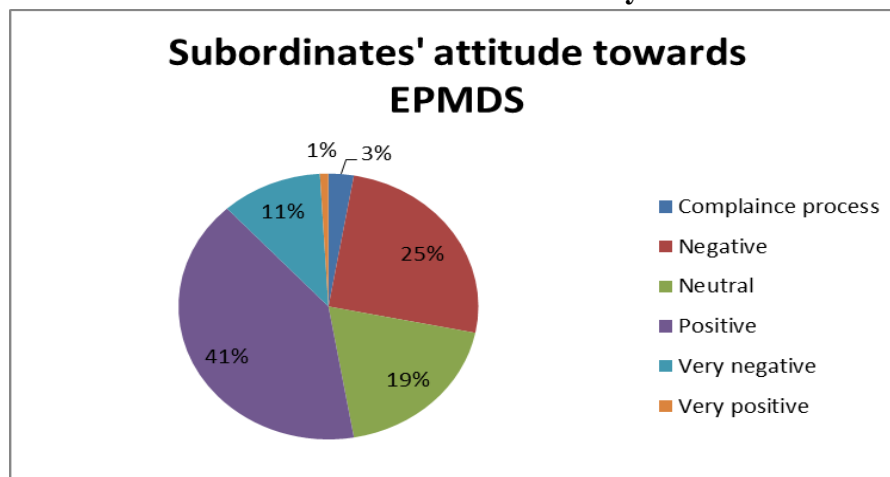
### 5.5.3 Verification of Performance Assessments

Verification of performance assessments	
Meet with subordinate	29
Require evidence and motivation	47
Verify through files and require evidence	3
All of the above	25
Blank	6
<b>Grand Total</b>	<b>110</b>

*Table 5.12-Verification of performance Assessments*

Table 5.12 illustrates that 25 managers used all methods when verifying performance scores. Especially if scores are 4 and 5, motivation was required. Forty seven (47) participants normally request evidence and motivation as a way of verifying performance. This assisted them during the moderation committee meetings where all performance assessments are presented, referred back for corrections if necessary and approved. Twenty nine (29) managers met with their subordinates to verify the scores submitted, and 3 managers checked the files, reports and other sources of information. It must be mentioned that 6 managers did not answer this question because they did not have subordinates.

### 5.5.4 Subordinates' Attitude Towards the System



*Figure 5.9- Subordinates' attitude towards the system*

Figure 5.9 illustrates what the attitude and perception of subordinates were towards the performance management system. Forty one percent (41%) indicated that their subordinates' attitude was positive. Some participants indicated that the system measured inputs and outputs which led to value for money. One percent (1%) perceived the attitude towards the system as very positive where it served a good purpose. The process was not cumbersome and no resistance was encountered.

Nineteen percent (19%) of participants believed that their subordinates feel that the system works for those who are in favoured by managers and not well for others. It was also mentioned in the findings that the system is moderate for those who get bonuses and unpleasant for those who do not receive any incentives. Twenty five percent (25%) of participants indicated that the staff's attitude is negative due to that some officials do not even want to attempt to score higher than 3 in during self-assessment which is any average score so that they will not be required to provide evidence and motivation.

Eleven percent (11%) of managers indicated that their subordinates have very negative attitude towards the system. Some of the reasons that were stated are that some of the objectives are unachievable and that there are stereotype about the system which can be manipulated in order to benefit the few. The participants also mentioned that the system is sometimes based on favouritism and friendship. Three percent (3%) of participants indicated that the system is a compliance process not benefits attached to it.

## 5.6 Training and Development

This section of the questionnaire aimed to determine how training and development was managed within the Department. It focuses on the development opportunities that are given to managers' subordinates and on the training budget.

### 5.6.1 Training Budget

Training budget				
Row Labels	Junior manager	Middle manager	Senior manager	Grand Total
1k-10k	3	9	4	16
10k-100k	1	5	2	8
100k-1m	3	6	6	15
1m-10m	0	2	7	9
10m-100m	0	0	0	0
No budget	8	17	4	29
Reside with Senior Manager	16	17	0	33
<b>Grand Total</b>	<b>31</b>	<b>56</b>	<b>23</b>	<b>110</b>

*Table 5.13-Training Budget*

There was a question in the questionnaire about training budgets that managers were liable for in their respective directorates. The table 5.13 illustrates that 33 managers did not manage any budget because it is centralised in the senior managers' budgets which catered for each whole directorate. Twenty nine (29) managers stated that there was no training budget allocated to their directorates/sections/ subsections. It must be noted that the allocation of training budget was dependent on the size of each directorate/section/subsection.

Large directorates were allocated a bigger proportion of the training budget than small sections i.e. the Internal Audit directorate received the biggest proportion of the training budget due to its workforce size. Most of the managers were responsible for training budgets of R1000 – R100 000 and only 2 middle managers and 7 senior managers were responsible for training budgets between R1 million - R10 million.

### 5.6.2 Frequency of Training Attendance

How often staff attend training	
Annually	13
Bi-annually	42
Monthly	4
Quarterly	43
When needed	2
Blank	6
<b>Grand Total</b>	<b>110</b>

Table 5.14-Frequency of training attendance

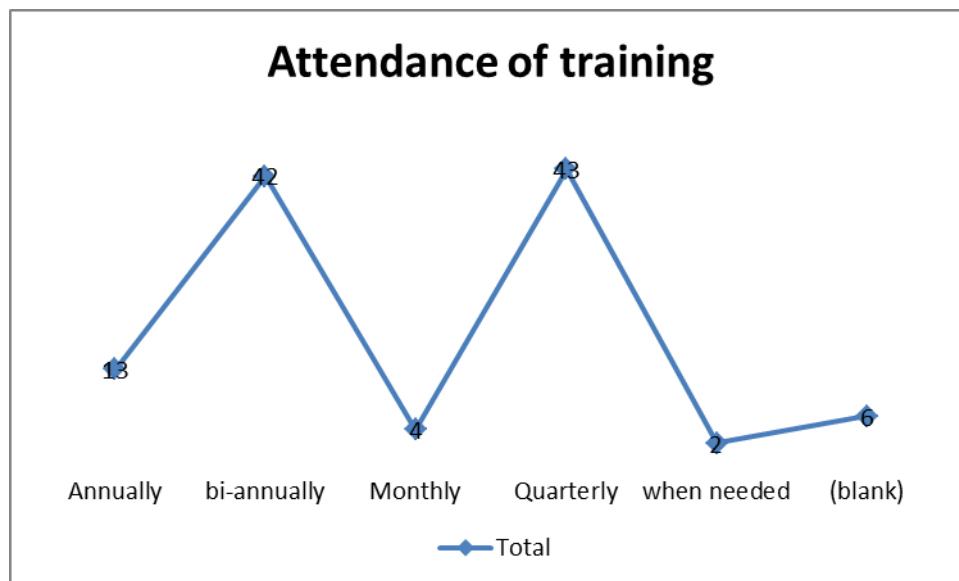


Figure 5.10- Attendance of training

The above table 5.14 and figure 5.10 show that most managers allowed their subordinates to attend training on a quarterly basis on average. Four (4) managers sent their subordinates to attend training monthly. These were probably the officials who were enrolled in structured skills development programmes i.e. learnerships which consist of several modules. Forty two (42) managers nominate their subordinates for training twice a year and 13 managers trained their staff once a year. Six (6) participants who left this question blank are those managers who did not have subordinates, as mentioned above.

### 5.6.3 Frequency of Personal Development Plan (PDP) Reviews

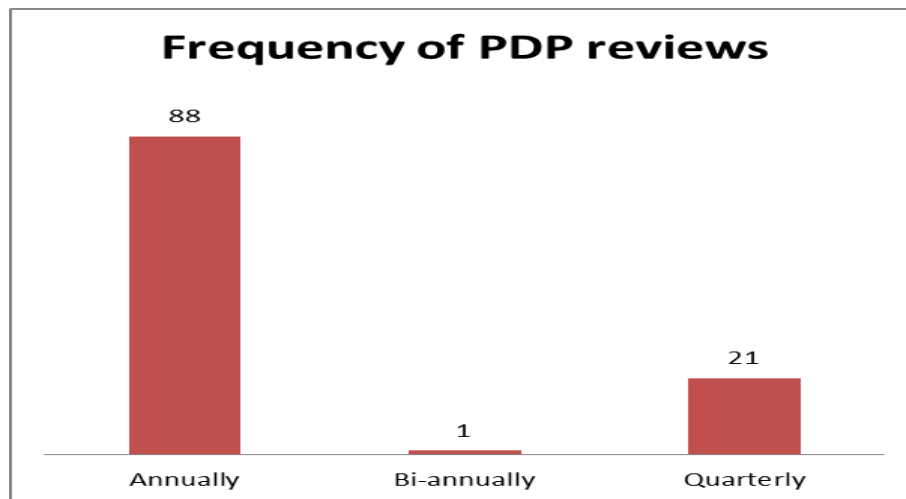


Figure 5.11- Frequency of PDP reviews

The purpose of this question was to check if the managers tracked and traced the training progress of their subordinates. It was also critical to ascertain if the training needs required to be amended according to the changes in the performance agreements / job descriptions. PDP review assists in ensuring that the training gaps are identified and addressed timeously which can optimise productivity and fast track service delivery. Figure 5.11 demonstrates that 88 participants reviewed their subordinates' PDPs annually, which is aligned to the financial year of the public sector. Some managers reviewed PDPs on a quarterly basis and one manager reviewed his/her subordinates' PDPs bi-annually.

## 5.7 Qualitative Results

### 5.7.1 Objective Number 3 - Submission of Leave Forms

All participants mentioned that leave forms were submitted to Human Resources immediately after they were captured and approved by all role players. For special and sick leave, officials must ensure that the leave forms are submitted to their respective managers when they are back from leave. Some of the comments from the participants are as follows:

- *“The electronic leave system is automatically linked to persal system and once approved the message pops on the screen for HR officials to print the scan and insert on the officials' files and also capture it on the system.”*
- *“I ask the employee to complete their leave forms and maintain a team file with copies of all leave taken.”*
- *“Keeping personal notes of staff absences and comparing it to on-line leave applications.”*
- *“I ensure that leave is entered on the system”*

But if it is annual leave, it must be approved prior to when the leave is taken. However, it is always advisable that the section leave register is used to record who was absent must be in place as a backup record system should the online system collapse or be dysfunctional. Some Managers commented that:

- *“there is a units attendance register which records anyones absent in particular day, responsibility of a manager to remind staff to put leave on the system.”*
- *“Completion of leave application electronically, and maintenance of manual records within the component.”*
- *“Automated leave application system”*
- *“Leave form completed, signed, approved and submitted to HRM through a signed receipt.”*

It was pointed out that that it was the manager's responsibility to remind staff to capture sick/special leave on the system, since it was a post-facto matter.

### 5.7.2 Objective Number 3-Mechanism for Monitoring Leave Abuse

The new system assists managers to ensure that all leave taken is reported and recorded by Human Resources. It was mentioned above that when the applicant requests leave online, an email is sent to the Recommender and Approver of Leave, to approve leave online.

Then HR verifies leave taken online after approval and also tracks and monitors the entire process from request to approval. Some of the direct comments are from Managers are as follows:

- *“Check against available leave days and also make sure that work targets are met before taking leave.”*
- *“Work commitments are prioritised, number of days taken monitored monthly.”*
- *“Monitor leave pattern and address any areas of concern based on the pattern itself.”*

Lastly, the system also maintains and updates leave credits which are one of the ways of ensuring that leave is not abused. Leave days taken cannot exceed the leave credits. Participants also reported that Managers could draw leave reports on an on-going basis to check if their subordinates abused leave or not. Some managers mentioned that it was always advisable to train and run information sessions on the matter, in order to ensure that all staff understood and knew how the system worked which could automatically eliminate unnecessary queries and the abuse of leave.

Lastly, it was further cited that managers also check the leave trend when leave is taken before or after every public holiday, payday or weekend e.g. Friday or Monday. Therefore, if there is a certain pattern of taking leave without accommodating operational requirements then it is the management's prerogative to request a sick note even if the leave that was taken was less than two days. This is in-line with the 8<sup>th</sup> week-rule which forbids officials to take consecutive leave within 8 weeks unless there is a valid reason for that conduct.

### **5.7.3 Objective Number 4- Understanding of Performance Management**

The participants were also requested to share their understanding of performance management. Most participants understood performance management to be a tool that measures if the performance targets have been met or not in order to achieve the broad strategic objectives of the Department. Some participants indicated that performance management is a system that is linked to the employment contracts which guides and ensures that job descriptions are effectively performed and that weaknesses identified are addressed;

- *“Manage performance and also ascertain if it assist to achieve the objectives of the department.”*
- *“PM is a tool set by HR to manage individual's performance.”*

Further to this, it also forms part of rewarding desirable performance and discourages undesirable performance.

Performance management was also perceived as an evaluation of individuals' performance in order to identify if there are any gaps or challenges which would hinder employees from fully rendering services as required. Therefore it serves as a mechanism of assessing what is available against what is actually required and thereafter comes up with relevant interventions to bridge identified gaps as mentioned below by one of the participants:

- *“It is a system linked to the employment contracts that guides and ensures that job descriptions are effectively performed and weaknesses identified are addressed.”*

From the responses received it clearly showed that participants had a good understanding of performance management and why it was being implemented in the workplace. All participants also had an understanding of how the performance management system worked and what the benefits/ rewards were that were attached to good performance.

#### **5.7.4 Objective Number 4 - Motivation**

In the questionnaire there was a question on motivation which intended to determine how managers motivated and encouraged good performance and which indirectly assessed employee-employer relationships. The findings indicated that managers used different ways of rewarding good performance such as acknowledging the best performance during directorate meetings and sending out communiques of appreciation:

Some managers gave their subordinates time-off on pay-day or the best-performers dine-out as a treat from the manager. This also motivated other subordinates to perform better. Some managers also motivated their subordinates by providing constructive feedback and on-going support and guidance. Some comment that

- *Appear motivated to them and always speak of winning team and lead by example by performing my duties by stipulated time.”*
- *“We try our best, through one on one meetings. However, it should be noted that within the directorate, there is very low staff morale. There is no tool in place to ensure that staff is motivated. Even the EPMDS tool is failing us in this.”*
- *“Applaud and encourage work well done. Assist the weak performer and advice or implement improvement startegies. Provide an appropriate leadership strategy to each individual in order to enhance their performance.”*

Some participants indicated that they motivate their subordinates through empowerment by providing growth and development opportunities. Sometimes managers encouraged their subordinates by allocating challenging and critical tasks to them, trust that they will finish those tasks. One of the participants stated that it was not easy to motivate subordinates because some subordinates were only motivated by money and the Department had limited financial resources which hindered the system from being fully implemented in a satisfactory manner.

### **5.7.5 Benefits of Performance Management**

Managers indicated some of benefits of having a structured performance management system in the working environment which were as follows:

- *“Since it rewards good performance and people are motivated to work hard.”*
- *“Monitoring and tracking progress on a quarterly basis.”*
- *“Motivating staff who come up with innovative ways to speed up service delivery.”*
- *“The staff gets motivated to perform better in order to qualify for performance bonuses.”*
- *“Adhering to policies, poor performance is identified and addressed accordingly.”*
- *“Assisting during the skills auditing process.”* However,
- *“Complex and pm has broken employer-employee relationship instead of building it.”*

It must be noted that there were participants who did not see the value of having the performance management system if it were not transparent and consistent.

### **5.7.6 Improvement of Quality, Service Delivery and Value Added**

This was also a reliability question for question 6 because one of the benefits of performance management is to improve service delivery. Most participants stated that if each individual executed their duties as expected and even above expectations, then the quality of service rendered could improve which would eventually lead to an improvement in departmental performance and service delivery. It was further indicated that the system assisted in ensuring that the performance contract and policies were adhered to. It also served as a mechanism that allowed managers to check if their subordinates were performing all tasks that were assigned to them. Lastly, the performance management system allowed the assessing of deliverables against specific outcomes and targets, and the same information was used at a more strategic level to track and report on organisational performance.

### **5.7.7 Objectives Number 5 and 6 - Training and Development Adding Value to the Department**

The last question was about the value that is added by training and development programmes which summarised questions for this section. Most participants mentioned that training had a critical role in organisational development because most people appointed needed to be fully capacitated in order to function exceptionally. The common comments that Managers mentioned were as follows:

- New ideas, new methods and trends were learned and skills developed through the skills development programme. This formed part of staff development which would encourage a team to acquire new skills and knowledge as a part of career pathing, Some of participants mentioned that:
  - *“yes- new methods and trend learned through training”*
  - *“New developments learned from training are of a great value”*
- Improvements were noted after training and this encouraged managers to send more people for training. Value for money was achieved eventually;
- One manager mentioned that the Department could benefit from training if the course content was applied in the workplace and became daily operational requirements;
  - *“Training and development is based on performance outputs or needs to perform better in the Organization.”*
  - *“It changes one’s understanding, skill, knowledge and attitude which has a direct impact on one’s performance.”*
- Training assisted staff to execute their duties more efficiently, effectively and economically;
- It was also mentioned that trained personnel saved time because minimal or no supervision was required when executing duties and state resources were adequately and efficiently utilised
  - *“Work is done more efficiently, effective and economically. Time is saved, minimal supervision is required and state resources are adequately and efficiently utilised.”* and
- When training gaps were closed employees were able to deliver in a better way and confidence levels were boosted through the empowerment of information. Therefore, training also assisted staff to build their confidence and attitude towards their jobs.

### **5.7.8 Relevance of Training**

The participants indicated that they used different methods to ascertain the relevance of training before sending their subordinates. Most of them stated that the starting point was to check PDPs because PDPs are aligned to job skills gaps that emanated from performance agreements. PDPs served as a guide on how skills must be prioritised in a particular financial year. Some managers used course outlines to check if the training was relevant or not for his/her staff to attend. However for some directorates, some managers were not delegated to nominate staff for training and that duty was assigned to senior managers in some sections.

## 5.8 Inferential Statistics

Quantitative data assists the researcher to make generalised conclusions using the findings of the research. Cronbach's Alpha Coefficient was used to measure internal consistency. It is a measure of consistency between different items of the same construct (Bhattacharjee 2012). SPSS was used to test whether in a group of questions there was correlation between two or more variables through t-test, and to determine confidence levels. However from the results demonstrated below it can be seen that there was no correlation between two or more variables that were selected and which were informed by the objectives of the study. Since there were no substantial results and as there were no significant results, no amount of testing can make any difference. Substantiated

	N	%	Cronbach's Alpha	N	%
Cases Valid	110	100	.77	110	100
Excluded <sup>a</sup>	0	0.0		0	0.0
Total	110	100.0		110	100.0

Table 5.15a Cronbach's Alpha test results

Results of the reliability analysis showed that all one hundred and ten questionnaires were used and no questionnaire was rejected due to irrelevancy. The Cronbach Alpha coefficient for 110 items is .77 which is considered as acceptable. Since it is more than 0.05 then it is safe to state that the research instrument administrated was internal consistent.

**Level of Management \* Number of management experience years Cross-tabulation**

			Number of management experience years					Total
			<2 yrs	3 - 5 yrs	6 - 9 yrs	10 - 14 yrs	15+ yrs	
Level of Management	Junior management	Count	10	10	7	3	4	34
		% within Level of Management	29.4%	29.4%	20.6%	8.8%	11.8%	100.0%
	Middle management	Count	15	17	13	5	3	53
		% within Level of Management	28.3%	32.1%	24.5%	9.4%	5.7%	100.0%
	Senior management	Count	3	9	4	4	3	23
		% within Level of Management	13.0%	39.1%	17.4%	17.4%	13.0%	100.0%
Total	Count	28	36	24	12	10	110	
	% within Level of Management	25.5%	32.7%	21.8%	10.9%	9.1%	100.0%	

Table 5.15 Relationship between management positions and number of managerial years

Table 5.15 shows that there were p values that were more than 0.05 for all the variables and this means that there was no significant relationship between level and experience.

### 5.8.1 Analysis of Gender versus Management Experience

**Level of Management \* Number of management experience years Crosstabulation<sup>a</sup>**

			Number of management experience years					Total
			<2 yrs	3 - 5 yrs	6 - 9 yrs	10 - 14 yrs	15+ yrs	
Level of Management	Junior management	Count % within Level of Management	3 20.0%	4 26.7%	4 26.7%	0 .0%	4 26.7%	15 100.0%
	Middle management	Count % within Level of Management	9 29.0%	7 22.6%	10 32.3%	3 9.7%	2 6.5%	31 100.0%
	Senior management	Count % within Level of Management	1 7.7%	4 30.8%	3 23.1%	2 15.4%	3 23.1%	13 100.0%
Total		Count % within Level of Management	13 22.0%	15 25.4%	17 28.8%	5 8.5%	9 15.3%	59 100.0%

Table 5.16 Gender = Male

**Level of Management \* Number of management experience years Crosstabulation<sup>a</sup>**

			Number of management experience years					Total
			<2 yrs	3 - 5 yrs	6 - 9 yrs	10 - 14 yrs	15+ yrs	
Level of Management	Junior management	Count % within Level of Management	7 36.8%	6 31.6%	3 15.8%	3 15.8%	0 .0%	19 100.0%
	Middle management	Count % within Level of Management	6 27.3%	10 45.5%	3 13.6%	2 9.1%	1 4.5%	22 100.0%
	Senior management	Count % within Level of Management	2 20.0%	5 50.0%	1 10.0%	2 20.0%	0 .0%	10 100.0%
Total		Count % within Level of Management	15 29.4%	21 41.2%	7 13.7%	7 13.7%	1 2.0%	51 100.0%

Table 5.17 Gender = Female

The above results were done through requesting all the available percentages in the cross-tabulation. The above two tables illustrate that there was no significant relationship between management level and experience in both males and females.

## 5.8.2 Number of Management Experience Years

Number of management experience years <sup>a</sup>			
	Observed N	Expected N	Residual
<2 yrs	2	2.5	-0.5
3 - 5 yrs	5	2.5	2.5
6 - 9 yrs	1	2.5	-1.5
10 - 14 yrs	2	2.5	-0.5
Total	10		

Table 5.18 Gender = Female, Level of Management = Senior management

It can be seen from table 5.18 that residual is just the difference between the observed and expected frequency and there was an equal spread across the experience categories. The analysis shows that the experience options were evenly spread. From the findings received, the management experience was more for participants who have 3-5 years of managerial experience.

## 5.8.3 How Employees Report not on Duty versus Management Level and Experience

			Crosstab					
			Number of management experience years					Total
			<2 yrs	3 - 5 yrs	6 - 9 yrs	10 - 14 yrs	15+yrs	
Time employees report not on duty	7:30	Count	1	6	5	3	0	15
		% within When employees report not on duty	6.7%	40.0%	33.3%	20.0%	.0%	100.0%
	8:00	Count	26	26	17	8	10	87
		% within When employees report not on duty	29.9%	29.9%	19.5%	9.2%	11.5%	100.0%
	8:30	Count	0	1	1	1	0	3
		% within When employees report not on duty	.0%	33.3%	33.3%	33.3%	.0%	100.0%
	9:00	Count	1	2	0	0	0	3
		% within When employees report not on duty	33.3%	66.7%	.0%	.0%	.0%	100.0%
	9:30	Count	0	0	1	0	0	1
		% within When employees report not on duty	.0%	.0%	100.0%	.0%	.0%	100.0%
	10:00	Count	0	1	0	0	0	1
		% within When employees report not on duty	.0%	100.0%	.0%	.0%	.0%	100.0%
Total		Count	28	36	24	12	10	110
		% within When employees report not on duty	25.5%	32.7%	21.8%	10.9%	9.1%	100.0%

Table 5.19 Number of management experience years

Crosstab

			Level of Management			Total
			Junior management	Middle management	Senior management	
When employees report not on duty	7:30	Count	3	7	5	15
		% within When employees report not on duty	20.0%	46.7%	33.3%	100.0%
	8:00	Count	29	42	16	87
		% within When employees report not on duty	33.3%	48.3%	18.4%	100.0%
	8:30	Count	1	1	1	3
		% within When employees report not on duty	33.3%	33.3%	33.3%	100.0%
When employees report on duty	9:00	Count	1	1	1	3
		% within When employees report on duty	33.3%	33.3%	33.3%	100.0%
	9:30	Count	0	1	0	1
		% within When employees report on duty	.0%	100.0%	.0%	100.0%
	10:00	Count	0	1	0	1
		% within When employees report on duty	.0%	100.0%	.0%	100.0%
Total		Count	34	53	23	110
		% within When employees report not on duty	30.9%	48.2%	20.9%	100.0%

Table 5.20 Number of management experience years

The relationship between the time employees report on duty and the management level and management experience is illustrated in the above table.

#### 5.8.4 Relationship Between Understanding of Performance Management System and its Perceptions

Employee Performance Management Development System * Perception of PM Crosstabulation						
			Perception of PM			Total
			Open	Reasonably fair	Waste of time	
Employee Performance Management Development System	Yes	Count	23	15	18	56
		% within Employee Performance Management Development System	41.1%	26.8%	32.1%	100.0%
	No	Count	17	19	17	53
		% within Employee Performance Management Development System	32.1%	35.8%	32.1%	100.0%
Total		Count	40	34	35	109
		% within Employee Performance Management Development System	36.7%	31.2%	32.1%	100.0%

Table 5.21 Performance management policy and perception of participants

Table 5.21 illustrates the relationship identified between the understanding of performance management system policy and the participants' perceptions about the system. The research intended to determine how well the participants understood the system and how that led them to negative perceptions.

#### 5.8.5 Different Categories of Management Level versus Perception and User-friendliness of Performance System

Crosstab						
			Perception of PM			Total
			Open	Reasonably fair	Waste of time	
Level of Management	Junior management	Count	13	10	11	34
		% within Level of Management	38.2%	29.4%	32.4%	100.0%
	Middle management	Count	18	18	17	53
		% within Level of Management	34.0%	34.0%	32.1%	100.0%
	Senior management	Count	9	6	7	22
		% within Level of Management	40.9%	27.3%	31.8%	100.0%
Total	Count	40	34	35	109	
	% within Level of Management	36.7%	31.2%	32.1%	100.0%	

Table 5.22: Level of management and perception of participants

There was no significant relationship between the performance management perceptions expressed by the participants and the level of management.

**Crosstab**

			Is EPMDS user-friendly				Total
			User-friendly	Moderate	Complex	4	
Level of Management	Junior management	Count % within Level of Management	4 11.8%	22 64.7%	8 23.5%	0 .0%	34 100.0%
	Middle management	Count % within Level of Management	5 9.4%	35 66.0%	12 22.6%	1 1.9%	53 100.0%
	Senior management	Count % within Level of Management	3 13.6%	15 68.2%	4 18.2%	0 .0%	22 100.0%
Total		Count % within Level of Management	12 11.0%	72 66.1%	24 22.0%	1 .9%	109 100.0%

*Table 5.23 Level of management and user-friendliness of the system*

According to Bhattacharjee (2012:81) the significance of regression coefficients is  $p < 0.05$ , if the sampling statistic (regression coefficient) predicts the corresponding population parameter (true effect size) with a 95% confidence interval. However,  $p$  is below 0.05 which means there is no significant relationship between the levels of management and also the perception of performance management system in it was user-friendly or complex. If  $p$  is above 0.05 then this means that the researcher can safely reject the null hypothesis and that the statistical data collected is sufficient to make conclusions about the sample, which represents the whole population.

## **5.9 Summary**

This chapter focused on the research findings that the management of the KwaZulu-Natal Provincial Treasury provided when they participated in the study. It must be mentioned that some of the managers could not participate because the management of human resources in their sections/ directorates resided with the senior managers. The findings also reflected that the management was aware of the human resource policies that had been implemented in the department but the implementation part needed to be monitored closely for not all of them had been implementing the human resource processes according to what was stipulated in the legislation frameworks. The interpretation of results and discussion on the findings will be discussed in the next chapter.

## CHAPTER SIX - DISCUSSION OF RESULTS

### 6.1 Introduction

In the previous chapter the research findings were presented and in this chapter there will be a discussion on results. The discussion in this chapter is aligning the results and the theoretical framework. In the past, before human resource structures were in place, line managers were required to deal with human resource decisions daily which impacted the business (Henderson 2011). Then after that dispensation, the management felt that human resource designed processes were more of a burden than useful processes/tools such as staffing, hiring, training, compensations limits and other HR related processes that can add value to the business's performance (Christensen 2005).

Subsequently, the human resource policies were separated from the core business systems and probably led to the creation of 'personnel management' which was invented by Isabel White. Some organisations misinterpreted that these duties of human resource professionals should be executed solely by them. Human resource functions were perceived as support services which do not add any value to the organisation.

However in the public sector, every manager has a responsibility of managing personnel issues of his/her directorate guided by Senior Management Services (Public Service Handbook, RSA 2003) and by other human resource related prescripts such as the Skills Development Act (1998), Employment Equity Act (RSA,1998), Basic Conditions of Employment Act (RSA,1997) and Labour Relation Act (RSA,1995) etc.

The following discussion incorporates the main objectives of the study which were as follows:

- To investigate the extent of compliance with the human resource policies and procedures by the various managers within the KwaZulu-Natal Provincial Treasury;
- To determine how the managers manage training and development in their respective directorates;
- To determine the provision of training programmes to assist employees to perform at their optimal levels;
- To investigate how managers implement performance management;
- To investigate how leave is managed; and
- To determine what mechanisms are in place to deal with the abuse of leave.

## **6.2 Objective Number 1: Investigate the Extent of Compliance**

**Investigate the extent of compliance with the human resource policies and procedures by the respective managers within the KwaZulu-Natal Provincial Treasury.**

### **6.2.1 Compliance as prescribed by legislation**

#### **6.2.1.1 Employment Equity Act**

According to the Employment Equity Act of 55 (RSA,1998), the representation in the workplace must be equal, especially the designated groups which must be represented equally with the non-designated groups. The Employment Equity Commission Report (RSA,2013) stated that the economically active population (EAP) data indicates that organisations must come up with programmes and put more effort into increasing the pool of women who are participating in the economy and that women must be developed to occupy managerial positions. This can assist departments to attain the target of 50% of women in management positions faster. According to the Employment Equity Commission Report (RSA,2013), it is indicated that 69% of management positions are occupied by males and 29.8% by women in KwaZulu-Natal. It must also be mentioned that the participation in the study was fully representative of both women and men in management positions.

The Employment Equity Act (RSA,1998) is a piece of legislation that intends to ensure that employees are operating in an environment that is free from discrimination and where everyone is represented irrespective of race, gender or disability. It also promotes equal opportunity and fair treatment in the workplace through the elimination of unfair discrimination and the implementation of affirmative action. Affirmative action also seeks to redress the historical disadvantages experienced by designated groups i.e. Black people (African, Indian and Coloured people), women and people with disabilities. It is critical that managers are assisted in ensuring that the Department is geared towards attracting and selecting the best candidates for jobs in line with the employment equity targets of the Department.

It must be noted that these Acts are critical in the Department because some of the Department's prescripts and procedures emanate from the above mentioned Act. If managers were fully capacitated and familiar with them then it would not be challenging to implement them.

The findings mentioned in the previous chapter showed that the sample of the KwaZulu-Natal Treasury management had a good understanding of the main prescripts that govern human resources. It is assumed that from the results of the findings, one can predict that the implementation of the human resource policies which are informed by the three pieces of

legislation which are the Public Service Act (RSA,1994), Basic Conditions of employment Act (RSA,1997) and Employment Equity Act (RSA,1998) have been fully implemented with sound understanding. It is crucial to obtain management buy-in to the key policies of the Department so that the implementation of those policies can be smoothly adopted and monitored. That is why it is significant to nominate employees who are at management level to be part of the Human Resource Committees where most of the policies and procedures are presented and adopted for implementation. It could be further researched if management buy-in can lead to the full participation and smooth implementation of new policies and programmes.

The findings showed that 51 women versus 59 men participated in the study. Gender imbalances were not an issue in this study. Management together with the Human Resource professionals should work together to ensure that the 50% target of women in management is achieved.

There are key pieces of legislation and prescripts that govern human resource policies and policies which must be adhered to. These policies are applicable to all spheres of government and they serve as guides to managers on how to manage human resources assisted by on-going guidance from Human Resource professionals. The participants were required to tick the legislations that they were aware of and they understood but unfamiliar prescripts were left blank.

Very few managers understood the following prescripts because these prescripts are not so popular with staff other than Human Resource professionals. But they form part of frameworks and practice notes that assist the public sector to achieve its goals, particularly addressing equity issues and skills shortages. Only Human Resource professionals and other role players such as the Sector Education and Training Authorities (SETAs) and policy developers are familiar and understand these pieces of legislation.

Acts are applicable to all employees regardless of the level, therefore managers should be familiar with them. The findings indicated that there were Acts that were well-known by the participants and these are the following:

- The Public Service Act 1994 as amended by Act 30 of 2007;
- The Basic Conditions of Employment Act 75 of 1997; and
- The Employment Equity Act 55 of 1998.

#### 6.2.1.2 Public Service Act 1994

The Public Service Act 1994 as amended by Act 30 (RSA, 2007) seeks to set out regulations on how the public service has to be administered especially in sustaining employee-employer relationships, i.e. drawing policies on the following:

- Duties and powers
- Conditions of service for the public servants
- Condition of employment, terms of office, discipline, retirement etc.

This Act provides guidelines on how things must be done in the public sector and managers can benefit a lot if they are familiar with it, because the regulations serve as a guide and are informed by the code of conduct. Consequently, out of 110 managers 88 managers are familiar with this legislation.

#### 6.2.1.3 Basic Conditions of Employment Act

Basic Conditions of Employment Act (RSA:1997) is a summary of key personnel regulations which must be applied from appointment to termination, such as house-keeping matters, leave management, overtime, employment remuneration and so forth. It is according to this Act that employees are entitled to a certain number of leave days, number of hours that must be worked per week, overtime regulations etc. From the finding of the research, it is pleasing to note that 79 managers were aware of this Act.

Nevertheless, there are other important prescripts that also mandate most of human resource proceedings. The following prescripts are critical to the whole organisation so that human resource policies can be fully implemented and understood, which are as follows:

#### 6.2.1.4 Labour Relations Act

This Act of 1995 comprises of two aspects which are disciplinary and grievance procedures. Grievance procedure is used by an unsatisfied employee who wants to report a formal grievance if the matter is not resolved verbally through the supervisor / manager. Labour relations professionals should be playing a facilitating role and the leading role should be played by the management since it is a management prerogative to lead such procedures. Disciplinary procedure is a process that must be followed when an employee is found guilty of misconduct in terms of the workplace rules. This procedure has a prescribed time that must be adhered to and management plays a leading role in initiating a disciplinary case against their subordinates. It is vital that management understand this Act so that they can implement these

two procedures according to the labour law. The finding of the research indicates that only 65 managers out of 110 managers understand this Act.

#### 6.2.1.5 Skills Development Act

The Skills Development Act (RSA,1998) is a piece of legislation that forces employers to develop their employees in order to meet departmental objectives. This Act mandates the skills development activities and programmes that are implemented in the organisation and employers are expected to account for how many employees are developed which also feeds towards attaining the national skills development strategy of the country which is informed in the National Skills Development Strategy III (NSDS III).

This Act is linked to quite a number of other prescripts like, Skills Development Levies Act (RSA,1998), South African Qualifications Act (RSA,1995), National Qualifications Framework (NQF) Act (RSA,2008) and NSDS III (RSA:2010) which cut across all sectors in the country. The significance of SAQA Act (RSA, 1995) and NQF Act (RSA,2008) must be highlighted during the recruitment and selection process. When management draws up the selection criteria when advertising a vacant position they must have sound knowledge of the NQF levels descriptors, which stipulates the NQF level of qualification; for example if the manager sets a qualification criterion that applicants must at least have a NQF Level 6 qualification which is equivalent to a National Diploma in order to be shortlisted for an interview. This criterion could be misinterpreted because there is a perception that the National Diploma qualification is the same as a Degree qualification. If one refers to the NQF Act and SAQA Act, the National Diploma is NQF Level six (6) and most Degrees are NQF Level seven (7). Only 22 managers indicated that they understand the NQF Act as well as SAQA Act. Therefore if the SAQA Act and NQF Act are not fully understood when coming up with the job requirements then there are lots of discrepancies that can be encountered. However Human Resource professionals are there to provide advice to line managers and to remind them how things should be done in terms of legislation. There are other prescripts and frameworks that inform human resource procedures mentioned in the questionnaire (Appendix A) which must be understood in order to optimise adherence.

#### 6.2.1.6 Other Human Resource Prescripts

The least known Acts and other pieces of legislation are Human Resource Planning Strategy for the Public Service; Strategic Framework Vision 2015; and Gender Equality Strategic Framework for the Public Service. Human Resource Planning Strategy for the Public Service: Strategic Framework Vision 2015 focuses on giving departments guidance on how to conduct HR Planning. The success of any organisation is dependent on the availability of employees who have appropriate education, training and skills required, are forward looking and focused on achieving its priorities. Human Resource Planning is aimed at determining the demand and supply of skills that are critical to achieving the strategic objectives of the department. The plan is also aimed at analysing the gaps between the demand and supply in order to develop strategies that will close identified gaps.

Further, human resource planning can be defined as an inclusive and dynamic process that involves identification of both current and future human resource needs, as well as potential challenges, in order for the Department to consistently achieve its organisational objectives. It regulates how Departments should deal with skills shortages and how to ensure that there is enough pool to retrieve from when skills shortages are encountered. It also looks at the future supply of skills and the department must also ensure that as it expands then there are skills reserved for the future.

Gender Equality Strategic Framework for the Public Service was also rated as the least known framework. This framework is more about gender mainstreaming which involves ensuring that all political, economic and social decisions are critically analysed for their differentiated impact on women, men, girls and boys. It seeks to remedy challenges that would perpetuate any gender inequality. This framework can address imbalances of the past and integrate gender considerations into departments' planning, programme and service delivery. It also incorporates the employment equity issues and other gender issues i.e. answering all questions that relate to gender. It is the main reason why there is more emphasis on providing training and development programmes for women and girls (bursary schemes offered to girls, take a girl-child to work campaign etc.). The whole Department should be well informed of such programmes in order to avoid challenges of non-compliance. During the survey, these two frameworks were least known by the participants while departments are currently obligated to implement them.

## **6.3 Partnership Between Management and Human Resource Professionals**

### **6.3.1 Human Resource Committees**

From the findings it can be noted that 17% of participants most of people who attended HR Committee meetings were officials that were at lower levels and these officials were not decision makers which can therefore be a challenge to implement recommendations from HR Committees. The Human Resource Committees that participants were members of are Consultative Forum, Departmental and Provincial Job Evaluation Screening, Moderation Committee for Job Evaluations, Employment Equity Learning Network, Human Resource Development Committee and Safety Representative Committee. These Committees are in place to ensure that HR strategies and procedures are presented and adopted accordingly.

The Committee members serve as section representatives and they are expected to consult and implement new policies when needed in their sections. The most attended Committees were Consultative Forum and Human Resource Development Committee.

Establishment of Human Resource Committees where the management and HR can consult on human resource issues and also cascade information from grassroots to the management and vice versa, through following structured channels that are in place. The terms of reference can assist the department to gain commitment from managers and spell out roles and responsibilities of Committee members. These Committees have powers to take certain decisions and also make recommendations to the Head of Department (HOD) as far as human resource issues are concerned. In the literature review Hallmark recommended that every organisation should have HR Committees which are made up of representatives from each directorate and must be headed by the senior managers who account to the Office of the CEO/HOD. This can assist Committees to implement HR policies as recommended by Hallmark (cited in Christensen 2005:81). There are six corporate committees Hallmark highlighted namely: employee relations committee, performance management committee, learning committee, organisational development committee, workforce and strategic planning committee and diversity committee.

From the findings, out of 110 managers who participated in the study only 7 managers were members of HR Committees. Therefore most of these Committees consisted of junior employees who represented their respective directorates and also had a responsibility for implementing recommendations emanating from committee meetings. One can argue about how junior officials can have responsibility to implement and adopt resolutions taken during

meetings since committees are made up of junior officials and most of HR-related policy are taken.

In order to encourage full participation and involvement of all Committee members, it is recommended that the coordinators of HR committee forums should explore other methods of consultation with stakeholders i.e. meetings, circulating newsletters, reports and that committees can hold only meetings where deliberation and engagement of all stakeholders is required.

Christensen (2005:77) states that there are very few line managers who are really involved in setting human resource strategies and very few Human Resource leaders who work hard enough in inviting management into the world of human resource.

Jain and Murray (1984) mention that the decision-makers can be very influential in the implementation of policies and programmes of organisations in the literature chapter. Therefore it can be recommended that the people who are members of the above-mentioned HR committees should be the section heads who are at management level. Decision makers are the right people to implement new HR policies in their respective directorates.

One of the open-ended questions in the questionnaire was regarding the role of managers in managing human resources which intended to find out if managers understood their role. The participants pointed out that the role of management in implementing human resource policies is to provide support to the Human Resource directorate. The comments from participants:

- *“Ensure HR policies are adhered to in their sections.”*
- *“To ensure that there is compliance. Monitor and enforce compliance with all HR policies and procedures.”*
- *“Ensure labour peace, productivity, wellness of staff and that staff have resources to do their job.”*

Some managers indicated that management plays a direct role in managing human resources with the assistance of HR. The management and Human Resource professionals are interdependent with each other in ensuring that all policies are adhered to. Some managers summarised this role as that management must ensure the development of staff, monitor and evaluate performance; manage discipline in accordance with the codes of conduct; and other HR prescripts.

It was further stated that managers should also provide on-going and proper guidance on strategic direction by means of the planning, leading, organising and controlling of human resources in the directorate.

It was also mentioned that managers must ensure that there is sound employee-employer relations in their directorates and that their subordinates possess the required skills and competencies (technical and generic) which will assist them in executing better what is expected of them. Moreover, managers must also ensure that there is continuous communication between employees and management (including supervisors) and among employees/staff members in order to attain teamwork and cohesion.

However 2 managers felt that the role of the management of human resource could sometimes become a burden to them and is done for compliance's sake. Christensen (2005) argued that sometimes the management perceive the management of human resources as a burden than being useful processes which enable organisations to grow and move forward. Lastly, managers indicated that they were responsible for authorising documents, i.e. leave, performance management, procurement, accommodation and subsistence and travel allowance, human resource development documents, mentorship and delegation of duties.

### **6.3.2 Human Resource Consultation**

Section B of the questionnaire looked at the key documents that must be submitted to Human Resource as well as the frequency of submitting those documents. Most managers consulted HR on a quarterly basis since there were documents that had to be submitted timeously which are in-line with the relevant prescripts mentioned above. However only three managers consulted HR on a daily basis and it is assumed that they were in the Human Resource directorate who were expected to deal with HR matters daily. Five (5) managers pointed out that due to time constraints, work commitments and stringent deadlines did not allow them to consult HR more regularly since the core line functions of the Department took priority.

## **6.4 Objective Number 2 and 3: Leave Management**

**Investigate how leave is managed; and also determine what mechanisms are in place to deal with abuse of leave.**

### **6.4.1 Leave Management System**

Leave management and leave administration are critical aspects of human resource and if neglected can be a financial risk. There are annual audits that are done by the Office of the

Auditor General and auditing departments. If what is in the Persal system does not match what is in the file then that can be an audit which creates a bad reputation for the department and the Accountable Officer can be charged with financial misconduct according to the Public Finance Management Act (RSA, 1996).

It may happen that in the past inaccurate information is given by the employee or some of the absences are not properly recorded and reported timeously. Some of the managers can be lenient and not verify who took leave and if the leave application form was submitted to HR or not. For an example, if leave forms are not submitted to Human Resources then when employees resign from the Department, they are given more leave payout than what they deserve which can be regarded as fruitless expenditure.

The participants indicated that there is a new electronic leave application system where an employee captures leave on the system which automatically goes to the immediate supervisor for recommendation and the senior manager for approval. This system deducts leave taken against leave credits and also updates immediately when leave is approved. The new system assists managers to easily monitor leave patterns and where managers can run monthly or quarterly reports after directorates.

Seventy percent (70%) participants felt that the system is user-friendly, fast and efficient. It also forces users to comply with leave requirements as legislated in the Basic Conditions of Employment Act. Besides this, some managers also maintain leave records, i.e. leave taken is recorded in the leave register which serves as a backup records system. Because the automated leave system is dependent on what is captured in it, managers should follow-up with the individual if leave taken is not captured timeously on the system. To maintain a separate leave records register also prevents leave from clashing with pre-planned important meetings and it assists a manager to ensure that his/her subordinates are not taking leave at the same time. There are several risks that are associated with maladministration of leave especially if it is done manually, like if a leave form does not reach HR for capturing inaccurate leave will be recorded on the system. Nevertheless, the new automated system is saving the department money, time and administration burdens. It is an ideal process that the management together with supervisors plays a leading role in ensuring that the leave taken eventually gets approved and sent to HR for processing.

One of the critiques from participants is that this system was developed and launched in April 2014 but the participants felt that the new system was not presented to the Office of the Premier which is heading the Provincial Administration as well as to the Department of Public

Service and Administration (DPSA) before it was rolled-out to employees. DPSA is the Department that develops policies and procedures which cut across the national and provincial government. Nevertheless, it may happen that approval was granted by the DPSA and Office of the Premier since this system is automatically linked with the government personnel system called Persal system. Persal system is administrated by the Office of the Premier and endorsed by DPSA.

Secondly it was mentioned that this system does not allow users to upload supporting documents such as sick notes, death certificates if it is family responsibility leave that is loaded. The participants felt that it was a risk to rollout such a system that had loopholes which can contradict leave legislations.

It is also further proposed that the new automated system should allow users to upload supporting documents on the system so any risk issues that are associated with leave abuse can be mitigated. It must also be mentioned that one of the participants was concerned that the new system was not approved by the mother body of national and provincial departments. Assumingly, the management can implement systems without first obtaining approval from respective authorities. However the custodians of the system maybe did not thoroughly explain the phases as well as the process before the system was implanted. It was crucial to have sensitised all staff about the process when the system was rolled out.

#### **6.4.2 Leave Reporting Medium**

From the findings presented in the last chapter, most participants were young - between twenty five to thirty four (25-34) years. There was also a discussion in the literature chapter that generation Y (between 25-34) tends to do things differently from the generation X in the workplace. Most young managers used social media when communicating with their subordinates and they were not offended when their subordinates use social media when reporting even on official things i.e. leave application. The findings illustrated that the young generation accept social media if their subordinates are reporting off-duty even though it is contrary to the legislation. The x-generation prefers the traditional way of reporting off-duty where their subordinates must verbally report their absence. The Basic Conditions of Employment Act (RSA,1997 ) as well as the Determination of Leave of Absence in the Public Service (RSA) stipulate that the employee must verbally report his/her inability to work immediately to the immediate supervisor or line manager on the first day of his/her absence.

One question which may arise is how a manager/supervisor can grant sick leave without hearing their subordinate's voice in order to attest that his/her subordinate is unfit to work. Therefore there may be discrepancies between what is in the policies and procedures and what is actually practised within the Department.

## **6.5 Objective Number 4: Performance Management**

### **Investigate How Managers Implement Performance Management.**

It was quite clear that participants were well informed of the system of performance management. Eighty percent (80%) of managers had knowledge about performance and why it was done in the Department and what implications were attached to it, as mentioned in one of the open-ended questions. It was noted that participants indicated that the overall definition of performance management and development system was a management technique that was linked to the Department's strategic objectives together with the component business plans and individual performance agreements in order to appraise performance through a defined process.

Therefore this system of assessing performance from individuals to departmental performance and underperformance was dealt with accordingly depending on the performance gap identified. Performance management system intended to assess and monitor the level of employees' performance and was done by subordinates and the managers on a quarterly basis. This was where employees were given a chance to conduct self-assessment against the performance agreement.

From the findings, the perception about the system is not mutual, 32% of managers were concerned that the system favoured some people over others and that it was a waste of time. Eight (8) participants pointed out that performance bonuses were given to officials who were favoured by their line managers. Probably, some managers might have awarded some subordinates high scores when their performances were not verified. However, 76 managers indicated that the main cause for disagreements was when subordinates were requested to provide proof and evidence of the service that they had offered to their clients. Nevertheless, it is a management prerogative to verify individual assessments through holding meetings with the subordinates or by requesting evidence and motivation to justify performance scores, particularly scores that were above average which is 4 and 5 and if scores were below average which is 1 and 2, as was discussed in the literature chapter. Managers can also check records, conduct client surveys and request reports to verify performance. Motivation must indicate how the performance standards were exceeded.

This is the ideal way if one intends to get a true reflection of one's section's performance. But it is time consuming and it can jeopardise the employee-employer relationship because it would look as if managers are acting like "watchdogs".

It can be argued that if the system is perceived as a waste at the management level how much more at the grass-roots level? It can be seen that some employees do not understand how the system works and what requirements are for receiving bonuses because there are requirements that must be met first before bonuses and other incentives are given. The main purpose of the system must be clearly understood by all parties in order to ensure that the performance management system is effective and efficient. It also assists in aligning staff development plans with the department's strategic goals.

It can happen that the performance standards setting process is not followed correctly and performance assessments are informed by performance standards. According to Bussin (2013) a performance standard is a measure that provides a specific level of performance which is used as an indicator for assessing performance. Bussin (2013) further states that there are 5 elements that must be taken into consideration when setting performance standards and that also determine the level of quality which is used to describe how well work must be done; which quality, quantity, time, cost or risk. Most performance management authors like Bussin recommend that standards or goals must be able to answer the following questions:

- Are the standards specific?
- Are the standards measurable?
- Are the standards attainable and realistic?
- Are the standards time bound?
- Are the standards clear?
- Are the standards challenging?

It can be concluded that some employees do not incorporate these elements when setting goals. It would be much easier to assess performance if quality, quantity, time, cost or risk is pointed out in the work-plan which is in the performance contract.

There should be an ongoing interaction between employees and managers in order to reach consensus. The management and staff should also ensure that the four phases of performance management are thoroughly done in order to attain the desired results. The main phases which are stipulated in the policy are as follows:

During the planning phase it is imperative to have job descriptions, performance agreements and work-plans with standards in place. If every employee understands these documents then the other phases would be implemented without hassles. According to the policy, individual performance agreements are signed at the beginning of each performance cycle.

This is normally done in the first month after the expiry of a performance agreement, during the cycle which is aligned with the financial year. Managers are expected to continuously discuss employee performance as per the performance agreement and review performance by giving appropriate scores to each output at the end of each quarter.

The formulations of these documents must be transparent, clear and be done in a consultative manner to all role players so that they can be easily adopted and honoured. The impacts of non-compliance must be clearly stipulated at the beginning of the financial year: that failure to submit the requested documents means that the employee will not qualify for any reward.

Performance Monitoring (support, barriers) - this is a phase which is often neglected, The management are expected to provide ongoing support to their subordinates so that they can deliver more than expected. However, it is the employees' responsibility to report challenges and hindrances to their managers so that other avenues can be explored. Some employees do not report challenges during the performance period but only report when there is a crisis during the performance assessment period. Nonetheless, this should not promote negligence and lack of taking responsibility and accountability and expect managers to come up with solutions to every problem. It is appropriate to allow employees to apply their problem solving skills and be able to deal or address complex issues on their own, as a way of growing. However, not all managers meet with their subordinates quarterly.

Performance Assessment / Appraisal- this phase is over-emphasised over the other 3 phases for it triggers people's emotions. Most people feel uncomfortable when they are being assessed. The attitude towards the system is as a bumpy process where all scores that are above the average (overall rating of 4s or 5s) must be accompanied by a written motivation. At the end of the performance cycle, a final average score must be provided by line managers after agreement is reached with their subordinates. But not all employees are aware of their performance requirements, which make it difficult to motivate how the performance standard was met. It becomes a problem though when the system is rated ineffective due to inadequate and unexplained standards set by various units.

These scores are therefore combined and are analysed per division and level. The analysis gives the overall level of performance of the organisation taking into consideration the issues of concern that come out during the analysis.

Managing outcome of assessment - The performance improvement plan is not only for employees who are under-performing, but also for all employees who intend to perform better. The purpose of this phase is to ensure the achievement of strategic goals by acquiring and managing skills, competencies, commitment of employees, recognising good performance and addressing poor performance effectively. It is the last process of coming up with improvements and interventions to improve performance where standards are not being met.

The research findings indicate that there seems to be no agreement during a consultative process between employee and supervisor and they end up signing performance agreements and assessments for the sake of compliance. Eight (8) of the participants also mentioned that performance management was designed well on paper and implemented for the sake of compliance as it is mandatory. If the staff that are in management level perceive performance management as one of the policies that are implemented for the sake of compliance, that is a ticking bomb which will burst one day. The Head of Department, together with HR should try to address all the concerns that were raised so that it will not affect the objectives of this system.

## **6.6 Objective Number 6: Training and Development**

**Determine the provision of training programmes to assist employees to perform at their optimal levels and how managers manage training and development in their respective directorates;**

The objective of the Skills Development Act (RSA, 1998) is to develop the skills of South African workforce by:

- increasing the levels of investment in education and training;
- encouraging employers and employees to buy into skills development;
- improving employment prospects of previously disadvantaged individuals; and
- ensuring the quality of education and training;

In conjunction with this Act, the Skills Development Levies Act was introduced to encourage employers to set aside training and development budgets. According to the provision of this Act, employers are required to develop, implement and report on a workplace skills plan, which is a strategic training plan for the Department.

Human Resource Development (HRD) is a component within the Human Resource directorate and is expected to implement the Workplace Skills Plan as per the Annual Performance Plan (APP) of the Department. HRD has the sole responsibility for and the objective of capacitating and developing human resources. As per the Act mentioned above, HRD is required to assess each individual's training needs, develop the skills plan, and then subsequently implement the plan by sourcing accredited services providers to conduct the training at a required level as per the National Qualifications Framework. Further to this the training providers must be accredited and training courses must be aligned to the NQF system in order to ensure the quality of education and training. This means that those employees attending are assessed at the end of the course and issued certificates of competence. The management should ensure that there is sufficient budget to implement the WSP and other HRD strategies which also intends to address the national skills shortages.

From the finding in the previous chapter, it must be noted that the training budget is decentralised to respective Line Managers which can be challenging for human resource professionals to monitor the utilisation of the training budget. Furthermore, HR should report on exactly how the training budget is spent while it is not located with the HRD/HR Manager which has become a cumbersome task as required by the skills development prescripts. However the HRD component can be assisted by the Finance directorate to draw up expenditure reports on each component which HRD can analyse to determine on what the training budget was spent, who attended that training i.e. internal or external staff, and whether the training was aligned to the WSP. Since the training budget function is decentralized to managers then HRD do not have full control on how those funds are utilised which can also be an internal control risk. The human resource professionals and managers should work jointly to ensure that the quality measures are adhered to when people attend training and development programmes and that internal controls are adhered to.

### **6.6.1 Relevance of Training**

It is vital for each manager to consult with each employee to identify their training needs and to complete a Personal Development Plan (PDP), to ensure a needs-based approach to training and education.

Therefore the review of PDPs can be done once or twice a year if necessary (Watson 2004). Most of the participants indicated that they reviewed the PDPs of their subordinates once a year. Most managers indicated that they used PDP's to check the relevance of training as well as the course outline. This can assist the Department to monitor which training is provided to employees because there are enormous communiques from private training providers inviting staff to attend training and development programmes.

Some of those providers are not accredited with the relevant SETA but they are “fly by night” companies. It is critical to check the relevance of training and also to identify if those training providers are registered and accredited to provide training or not.

PDP review can assist the Department to be pro-active in planning for the development of employees in their current working environment and also for future career aspirations which ultimately links in with the Performance Management and Development System (PMDS) to ensure improved service delivery. Furthermore, it will assist managers to plan their respective directorates so that there is sufficient training budget to keep their subordinates informed of new trends and developments.

It is critical that the management is involved during the planning stage. As Noe (2008) states that if managers are not involved in identifying the skills gaps, skills required and also in providing feedback to their subordinates, then it would be meaningless to conduct training and irrelevant training would be arranged which did not bridge the skills gaps identified. The human resource professionals and managers should make a joint effort to ensure that the quality measures are adhered to when people attend training and development programmes.

#### **6.6.2 Level of Education**

From the findings, 93 managers indicated that they acquired academic knowledge in their respective fields and 5 Managers have more experience than academic knowledge as they have other training and development while have more than 10-14 years. Both education background and number of years of experience are part of recruitment criteria. For this Department it is critical to appoint people who are in possession of National Qualification Framework (NQF) Levels 4-10 qualifications, due to the nature of business. NQF Level 4-6 is equivalent to a Diploma or Degree qualification.

It has been noted that 5% of participants only had matriculation as a qualification. Some officials who are without post-matric qualifications can be easily neglected and priority may be given to officials who have qualifications already. One can pose a question of how a person at managerial position cannot be capacitated to attain post matriculation qualification.

The recognition of prior learning (RPL) can be recommended for managers who have vast years of experience but no post matriculation qualification. From the sample some managers were without post-matriculation qualification and maybe they were appointed based on the numbers of year of technical experience.

It can happen that employees without post matriculation qualifications were above 55 years of age and maybe they were about to retire. Nevertheless, it can benefit the Department to come up with mentorship and knowledge management programmes to ensure that those managers share information they have before they can leave the Department. Maier (2012) states that knowledge management programmes are intended to resolve all knowledge related issues because such programmes assist organisations to share special ingredients which cannot be learnt through education or training but only through vast experience. Knowledge management can play a significant role in ensuring that critical skills are transferred to other people. Knowledge management programmes can also ensure that there is business continuity even when employees with critical skills exit from the organisation.

Secondly, lot of disputes between generation X and generation Y in the workplace may be caused by imbalances in that new young professionals who are appointed at a managerial level are communicating differently with employees who have been in the system for a long time and who do not have qualifications. If generation X is not fully capacitated to occupy managerial positions then a lot of dissatisfaction and grievances can be predicted. It is proposed that the management should provide development opportunities to employees who are without post-matriculation qualifications, so that they can apply for managerial positions instead of appointing external people who are trained by these employees on how things are done in the Department. The findings also highlighted that most of the managers had tertiary qualifications when they were appointed to management positions. Looking at the nature of the business, it is critical to ensure that the employees who enter in the Department have at least a three- year Diploma or Degree unless it is not a necessity.

## **6.7 Summary**

This chapter focused on the theoretical framework, research results and the findings. From the results presented in the previous chapter and the discussion outlined in this chapter it can therefore be concluded that all human resource functions should be linked to the broad strategies to be meaningful and to add value to the organisation. The human resource professionals are enablers to assist the department to attain the desired results and the abovementioned human resource strategies are implemented to enable the Department to fully function as expected and if these strategies are removed it could be cumbersome to deliver what is required. The research that was conducted by Sherman proved that there is a strong correlation between the organisation's performance and the management of the human resources (Sherman et al. 1998 cited in Van der Westhuizen 2011:1). Management of human resources requires partnership from management and human resource professionals. The next chapter will be presenting recommendations, limitations of the study, as well as the recommendations for further research.

## **CHAPTER 7- CONCLUSION AND RECOMMENDATIONS**

### **7.1 Summary**

This chapter will be looking at the recommendations that are proposed for a better management of human resources and will also propose suggestions on how the human resource policies can assist the Department to attain its strategic objectives. One of the reasons that can cause limited participation is that the human resource strategies are not aligned to the organisational strategies. The previous chapters looked at how the management of human resources should be done from the legislative point of view and compared those frameworks with the research findings from the KwaZulu-Natal Provincial Treasury. This chapter will be wrapping up the literature, data collected, presentation and discussions on this subject matter.

Chapter 1 was an introductory chapter which was an executive summary of the study. It consisted of the outline of the study, research design, research problem, research objectives and overview of the research methodology. The main research problem for this study was on the implementation of effective management systems for human resources in the KwaZulu-Natal Provincial Treasury which would assist in promoting excellence in the performance of the staff.

Chapter 2 focused on the literature review as well as the theoretical frameworks and paid attention to the human resource policies and its management techniques. It also included the brief historical background of the human resource concept and key human resource policies particularly in the public sector. The researcher zoomed into the key legislative prescripts that are implemented in the public sector.

Chapter 3 was about the overview of the public service in South Africa and had the management of human resources in the South African public sector, overview of provincial government and also looked at the KwaZulu-Natal Provincial Treasury and its achievements and challenges.

The fourth chapter presented the research methodology that the researcher used when collecting the raw data. The data was collected using a questionnaire which had five sections, namely, general human resource prescripts, leave management, performance management and training and development management. The sample was made out of the 110 line managers, middle managers and senior managers of the KwaZulu-Natal Provincial Treasury who participated in the study. Reliability was also done using the test-retest reliability method in

order to ensure consistency. The questionnaire was also validated to determine if it measured what it was supposed to measure.

Chapter 5 is where the research results were presented which comprised of the descriptive and inferential results. For statistical data that was collected the researcher used the SPSS to analyse the data. The analysis showed that there was an element of neglecting the management of human resource policies and some of the policies were jointly managed by managers as well as human resource professionals. However there were other programmes that were driven by human resource professionals.

Chapter 6 was a discussion on the results found in the previous chapter and it also discussed the finding in the contexts of the theoretical framework which was presented in the literature chapter. In part of the discussions it was mentioned that there was compliance in terms of human resource consultations and submissions. It was also revealed that there were different perceptions and attitudes as far the performance management system was concerned. The results also showed that leave management was automated and it was done in partnership with human resource professionals. Lastly, there were also discussions on training and development management starting from the review of personal development plans, the relevance of training and how training adds value to the Department. This chapter also assisted the researcher to reach conclusions about each research objective as to whether they were met or not.

## **7.2 Recommendations**

The following recommendations are made in relation to human resource processes within the KwaZulu-Natal Provincial Treasury. These recommendations are based on the literature and the findings of the study.

- The legislation requires employers of 50 or more employees to formulate Human Resource Committees where HR issues can be discussed. In order to encourage full participation and involvement of all Committee member it can be recommended that the coordinators of HR committee forums should explore other methods of consultation with stakeholders i.e. meetings, circulating newsletters, and reports and committees holding meetings that require the deliberation and engagement of all stakeholders. It would probably assist to consolidate HR committees into one in order to deliberate about all aspects of human resources. One of the problems is time constraints for these HR committees to meet at least once a quarter. It is would be advisable that the HR committees be combined which could even address absenteeism indirectly if it is a impending challenge.

- Christensen (2005: 77) states that there are very few line managers who are really involved in setting human resource strategies and very few human resource leaders who work hard enough in inviting management into the world of human resource. Jain and Murray (1984) mention that the decision-makers can be very influential in the implementation of policies and programmes of organisations, as in the literature chapter. Therefore it can be recommended that the people who are members of the above-mentioned committees should be the section heads who are at management level.
- It is recommended that line managers should adhere to the pieces of legislation which address the reporting time and way of reporting absence. Noe (2008) states that managers who do not have an interest in managing human resources might be the result of inadequate information and training and the misunderstanding of roles. It is further proposed that the Human Resource personnel should conduct on-going information sessions as a way of sensitising managers and staff to the policies and procedures which are mandated by key pieces of legislation, because it can happen that the managers and their subordinates are not aware of when reporting off-duty must be done within allowed parameters. Therefore, it is further commended that the emphasis should not only be on the main or prominent prescripts but also on other frameworks that affect the human resource proceedings and the management must be well informed of such frameworks.
- It is recommended that the access control system be linked with the leave system so that it can be easy to detect leave reporting. As a leave management mechanism, these policies can be integrated which can assist the management to obtain reports on absenteeism because presently an absenteeism report is the interpretation of what was captured on the system, disregarding leave taken but not captured.
- All employees should be required to swipe their access cards at all times through the access control system whenever they enter or leave the building/premises or workstations that they visit for business purposes. If it is made compulsory then it will also be easy to monitor the ins and outs of the staff. Where records indicate that a person did not swipe in or out, he /she will then be regarded as absent without leave or permission, and normal processes can be followed in order to deal with this.
- It was mentioned that this system does not allow users to upload supporting documents such as sick notes, death certificates, or if it is family responsibility leave that is loaded. The participants felt that it is a risk to have and rollout such a system that has loopholes which can contradict leave legislation. It is also proposed that the new automated system should allow users to upload supporting documents onto the system in order to

mitigate any risk issues that are attached to leave abuse. It must also be mentioned that one of the participants was concerned that the new system was not approved by the mother body of national and provincial departments. It is unlikely that the management can implement policies without seeking approval first from the respective authorities. However the problem could have been that the implementer did not fully sensitize all staff about the process when the system was rolled out.

- It is critical that the management is involved during the planning stage because Noe (2008) states that if managers are not involved in identifying the skills gaps, skills required and also not providing feedback to their subordinates then it would be meaningless to conduct training and irrelevant training would be arranged which would not bridge the gaps identified. It is recommended that the management should be assisting employees to complete the skills audit forms or training needs assessments.
- The impacts of non-compliance must be clearly stipulated at the beginning of the financial year because failure to submit the requested documents will mean an employee will not qualify for any reward. Therefore if employees do not comply in submitting performance management documents i.e. performance agreement as well as the 4 quarterly performance assessment can be penalised for non-compliance.
- Managers should ensure that their subordinates capture leave and also submit timeously on the system. This is recommended for further research on if it is effective and how it is saving the department's money and time.
- It is recommended that line managers should provide on-going support to their subordinates when compiling performance evidence, because line managers are the best people to verify their subordinates' performance. The performance management system policy stipulates that the system seeks to manage performance in a consultative, supportive and non-discriminatory manner in order to enhance organisational efficiency and effectiveness.
- It is appropriate to conduct performance reviews quarterly which is more recommended and feasible because it is easier and appropriate to be assessed four times a year in small chunks than being assessed biannually or annually. Employees can provide an accurate and concrete 3 months motivation in which it is still convenient to collect all the required supporting evidence. If employees are aware that their performance is being monitored against specific targets they would attempt to meet or exceed the targets always. Underperformance or failure to deliver and poor service delivery would be easily identified and dealt with.

- It is further recommended that it now be linked to each manager's performance contract in the public sector. This function and other human resource management functions can be easily neglected if they are not incorporated into performance contracts. Since the performance management system is easily perceived as a burden and as an administrative duty, then managers should be formally informed that they are expected to manage performance in their respective directorates. The SMS Handbook also serves as a guide on how managers should execute their human resource functions in their respective directorates.
- It is further recommended that performance management information sessions should be run on an on-going basis in order to iron out all grey areas about the tool and the performance management process. If the abovementioned phases are fully implemented according to prescripts and relevant policies then the purpose of performance management can be achieved which would also have a positive impact on the overall departmental performance.

### **7.3 Limitations of the Study**

The main challenge was that was encountered during the collection of data in that the questionnaires were distributed to participants when the Department was busy with budget speeches. This resulted in constantly extending the due date which delayed the whole research process. However it was beneficial to grant extensions because that resulted in increased numbers of people who participated in the study. The structural changes within the Department also disrupted the flow of the research when new people were appointed and some of the people who were willing to participate left the Department.

### **7.4 Recommendations for Further Research**

- For further research it can be recommended that a further study be done on the motivating factors that could change the perception and attitude towards performance management. Herzberg's two factor theory indicates that employees are either satisfied or dissatisfied in their working environment. But the most common satisfaction/dissatisfaction factors are more related to acknowledgement, recognition and development opportunities. There are few employees who are aggrieved hypothetically speaking, because of what Herzberg called hygiene factors (environment, policies and procedures, responsibility etc.).

- It is further recommended that the performance management and development system should be researched further within the same Department, Provincial Administration and National Department depending on the resources available. From the findings it is noted that this system is implemented for good reasons and is also there to assist the Department to align individual contribution with the broad strategic objectives. However from the findings it is noted that performance management must be zoomed into in order to address issues that are relatively cumbersome for a smooth implementation.
- From the several human resource studies and literature it can be concluded that management participation and on-going support are crucial for driving human resource policies in a positive way in order to attain desired results. Management participation can have a strong influence on the effective implementation of human resource policies. It can be further researched if management buy-in can lead to full participation and the smooth implementation of new policies and programmes.
- Another aspect of human resource that could be interesting to zoom-in on is the return on investments and this could also assist management to determine if the human resource policies can add any value to the department. This can also incorporate the return on investment in training and also how the human resource professionals can be taken as strategic business partners not as compliance seeking people. There could be discussions on how the management could try to adopt human resource in the organisational strategies and also to incorporate human resource processes into the broad strategies of the organisation. This is where the expansion and any growth of the business/ organisation can be also looked into from the human capital perspective.
- One could also conduct an empirical study into assessing the management of human resources in the South African context and compare it with the international companies, probably focusing on the South African public sector and other international public sectors. There could be new ways that could be adopted and it could also be meaningful to adopt those new trends discovered through research.

## **7.5 Conclusion**

The effective management of human resources can assist the Department to acquire, develop, and retain the key skills that are required to execute the departmental mandate. It is critical to always align the human resource strategies to the departmental strategy. The human resource policies should be planned, implemented and monitored and feed toward the strategic goals of the organisation in order to add value and be recognised as a strategic business partner. Most of the human resource policies are implemented for the sake of compliance with the relevant legislation that governs human resources. However, it can be appropriate to implement policies that are assisting the Department to meet its objectives at the end of the day.

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**UNIVERSITY OF KWAZULU-NATAL  
School of Management, IT and Governance**

Dear Respondent,

**M Com Research Project**

**Researcher:** Nokuphiwa Mkhize (033 341 1208)

**Supervisor:** Dr M.A. Phiri (033 260 5843)

**Research Office:** Ms P Ximba 031-260 3587

I (Nokuphiwa Mkhize), am an (M Com- Research Project) student in the (School of Management, IT and Governance), at the University of KwaZulu-Natal. You are invited to participate in a research project entitled *(An Evaluation of the Management Systems of Human Resources in KwaZulu-Natal Provincial Treasury)*.

The aim of this study is to: *(investigate the implementation and effectiveness of management of human resource policies in KwaZulu-Natal Provincial Treasury)*. Through your participation I hope to understand the management of human resource policies and how these policies assist in promoting performance excellence of KwaZulu-Natal Provincial Treasury. The results of this survey are intended to contribute to my research (qualification).

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this research project. Confidentiality and anonymity of records identifying you as a participant will be maintained by the (School of Management, IT and Governance), UKZN. If you have any questions or concerns about participating in this study, please contact me or my supervisor at the numbers listed above.

It should take you about 10 minutes to complete the questionnaire. I hope you will take the time to complete the questionnaire.

Sincerely

Researcher's signature\_\_\_\_\_ Date\_\_\_\_\_

**UNIVERSITY OF KWAZULU-NATAL**  
**School of Management, IT and Governance**

**M Com Research Project**

**Researcher:** Nokuphiwa Mkhize (033 897 4432)

**Supervisor:** Dr M.A. Phiri (033 260 5843)

**Research Office:** Ms P Ximba 031-260 3587

**CONSENT**

I \_\_\_\_\_ (full names of participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project. I understand that I am at liberty to withdraw from the project at any time, should I so desire.

\_\_\_\_\_  
Signature of Participant

\_\_\_\_\_  
Date

## Questionnaire

## Appendix B

Thank you for agreeing to participate in this study which aims at evaluating the management of human resource policies within the KwaZulu-Natal Provincial Treasury. Please complete the following questions from Section A-E. The questionnaire will take approximately 10 minutes to complete and please note that your responses will be strictly confidential.

### SECTION A: BACKGROUND INFORMATION

Name and surname (optional)

Designation /rank

Section

Contact details (optional)

E-mail address :
Contact number:

Age group:

> 25 years		25-34 years		35-44 years		45-54 years		55+ years	
------------	--	-------------	--	-------------	--	-------------	--	-----------	--

Level of education

Primary School= 01, High School =02, Tertiary Institution = 03, Informal education= 04 or no formal education =05, Other =06											
01		02		03		04		05		06	
Other (please specify):											

Gender:

Female		Male	
--------	--	------	--

Level of management

Senior Manager		Middle Manager	
----------------	--	----------------	--

How many years have you been managing?

> 2 years		3-5 years		6-9 years		10-14 years		15+ years	
-----------	--	-----------	--	-----------	--	-------------	--	-----------	--

How many officials who are under your supervision?

1- 5		6-10		11-15		16-20		+20	
------	--	------	--	-------	--	-------	--	-----	--

If more than 20 (please specify):

--

## SECTION B

### Human resource in general:

1. Which legislation frameworks are you familiar with when it comes to HR issues? Please tick

Public Service Act, 1994 as amended by Act 30 of 2007		Transformation of the Public Service White Paper	
Public Service Regulations, 2001		National Skills Development Strategy III	
Basic Conditions of Employment Act 75 of 1997		Framework for identifying and monitoring scarce & critical skills, 2005	
Employment Equity Act		Draft guide on the practice of career management in the public service	
Labour Relations Act 66 of 1995		Human Resource Development for the Public Service: Strategic Framework Vision 2015	
Occupational Health and Safety Act		Leadership Development Management Strategic Framework for the Senior Management Service	
Skills Development Act 97 of 1998		The Public Service internship programme, 2006	
Skills Development Levies Act of 1999		The Public Service mentorship programme, 2006	
The South African Qualifications Act, Act 58 of 1995		Employee Performance Management Development System	
Labour Relations policy framework for the Public Service, 2004		Implementation of the scarce skills framework	
Guide on disciplinary and incapacity matters, 2006		Human Resource Planning Strategy for the Public Service: Strategic Framework Vision 2015	
Salaries and benefits in the Public Service for levels 1 to 12 Policy		Senior Management Service Handbook	
Amended Determination on leave of absence in the Public Service		Public Service middle management competency framework, 2005	
Policy and procedure on Incapacity Leave and Ill-health Retirement (PILIR)		Managing Staff Retention: An Information Guide for Government	

		Departments, 2006	
Strategy to reduce the recruitment period and the vacancy rate in the public service		Employee Health and Wellness Strategic Framework for the Public Service	
Guideline on job descriptions		Code of good practice on disability in the workplace in South Africa	
Guideline on job evaluation		Gender Equality Strategic Framework for the Public Service	
Other: Specify			

2. How often do you consult with HR directorate?

Everyday= 01, Once a week =02, Once a monthly = 03, Once a quarter= 04, Bi-annually =05, Annually =06											
01		02		03		04		05		06	

3. What are the documents that need to be submitted to HR?

Performance Management documents		Job descriptions	
Skills Audit forms		Leave forms	
Training nomination forms		Discipline document	
Recruitment documents: authority to fill the post		Nomination forms for HR Committees	
Job Evaluation forms		Other (Specify)	

4. How often do you submit the abovementioned documents?

Everyday= 01, Once a week =02, Once a monthly = 03, Once a quarter= 04, Bi-annually =05, Annually =06											
01		02		03		04		05		06	

5. Do you participate/ attend HR forum meeting?

Yes		No	
If yes, please specify:			

6. What is the role of the management in managing human resources for his/her directorate?

--

--

## SECTION C

### Leave Management:

1. What system do you use to manage leave? Please explain

--

2. When do your subordinate report if there are absent?

7:30= 01, 8:00 =02 8:30 = 03, 9:00 = 04, 9:30 =05, 10:00 =06 , after 10:00 = 07													
01		02		03		04		05		06		07	

3. How do they report their absence?

call you = 01 message through sms = 02 letter =03 message through whatsapp = 04 message through facebook = 05 message through twitter = 06 through the colleague = 07													
01		02		03		04		05		06		07	

4. How do you ensure that the leave taken is reported to HR and recorded?

--

5. How do monitor that leave is not abused in your directorate?

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## SECTION D

### Performance Management:

1. What is your understanding of performance management?

--

2. How do you perceived the system? Please tick

Open		Reasonably fair		Waste of time	
------	--	-----------------	--	---------------	--

3. How do you find the EPMDS system?

User-friendly		Moderate		Complex	
---------------	--	----------	--	---------	--

4. How do you verify performance assessments for your directorate?

Meet with your subordinate	Require evidence and motivation	Verify through files	Other (if other please specify below)

5. How do you motivate your subordinates?

--

6. Do you think performance management can help in the improvement of quality and service delivery?

Yes		No	
If yes, please specify:			

7. How do you find the attitude of your subordinates towards the system?

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8. How does the organisation benefit from this system?

--

## SECTION E

### Training and Development:

1. How much is set aside for training and development purposes?

R1000- R10000= 01, R10001-R100000 =02, R100001 –R1000000 = 03, R1000001 – R10000000= 04, R100000001-R1000000000 =05, R1000000000 - <R10000000000 =06											
01		02		03		04		05		06	

2. How often does your subordinate attend training courses?

Everyday= 01, Once a week =02, Once a monthly = 03, Once a quarter= 04, Bi-annually =05, Annually =06											
01		02		03		04		05		06	

3. Does training and development add any value to your subordinates' performance?

Yes		No	
If yes, please specify:			

4. How do you ensure that the training that is provided in your section is relevant training?

--

5. How often are the personal development plans for your subordinates reviewed?

Once a monthly = 01, Once a quarter= 02, Bi-annually =04, Annually =05									
01		02		03		04		05	

*Thank you for your time and for participating in this study!!!!*



23 March 2015

Ms Nokuphiwa Thembekile Mkhize (203502893)  
School of Management, IT & Governance  
Pietermaritzburg Campus

Dear Ms Mkhize,

Protocol reference number: HSS/0183/014M

New project title: An investigation of the Management of Human Resource Policies in KwaZulu-Natal Provincial Treasury

**Approval Notification – Amendment**

This letter serves to notify you that your request for an amendment received on 16 March 2015 has now been approved as follows:

- Change in Title

Any alterations to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form; Title of the Project, Location of the Study must be reviewed and approved through an amendment /modification prior to its implementation. In case you have further queries, please quote the above reference number.

**PLEASE NOTE:** Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

Best wishes for the successful completion of your research protocol.

Yours faithfully

Dr Shenuka Singh (Chair)

/ms

cc Supervisor: Dr MA Phiri  
cc Academic Leader Research: Professor Brian McArthur  
cc School Administrator: Ms Debbie Cunynghame

**Humanities & Social Sciences Research Ethics Committee**

**Dr Shenuka Singh (Chair)**

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