

**THE HUMAN RESOURCE ALIGNMENT WITH THE STRATEGIC  
PLAN 2006 - 2011 IN THE EASTERN CAPE CHRIS HANI DISTRICT  
MUNICIPALITY WITH SPECIFIC REFERENCE TO THE  
EMALAHLENI LOCAL MUNICIPALITY**

**BY**

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## **DECLARATION**

I, Nomveliso Nyukwana, hereby declare that this mini-dissertation submitted to the University of Fort Hare for the Degree of Master in Public Administration has not previously been previously submitted by me to this or any other university for any purpose, that this is my own original work and that all materials contained herein have been acknowledged.

Signed by.....

Date.....

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## ABSTRACT

The aim of this study was to investigate the alignment of human resources with the strategic plan at Emalahleni Local Municipality in Chris Hani District Municipality, Eastern Cape. The alignment of the human resources plan with the strategic plan is the requirement for inclusive integrated planning legislated in local government acts. The research in this area does not investigate the alignment of the human resources plan with the strategic plan especially in Eastern Cape local government. Integrated planning which is inclusive of human resource development and performance management is a legal requirement legislated in the Local Government Municipal Systems Act no. 32 of 2000.

From the literature review it was evident that it is essential for organisations to have a clear vision and measurable specific attainable time-bound objectives which could transpire into measurable performance standards. For achievement of the strategic objectives human resource planning of the organisation has to be informed by the objectives of the organisation so that there can be a relationship between the employees and the business in which they are employed. The literature raised the importance of the involvement of the human resource manager and employees in general in the development of human resource strategy and strategy planning in the organisation and the performance of the organisation.

A combination of the qualitative and quantitative approaches was used to achieve the objectives of evaluation research used as the research design in the study. A document study, interviews, and questionnaires were used to investigate the alignment studied. The participants were employees ranging from managers to lowest-level employees. The main patterns that emerged from collected data were the lack of clear strategic objectives, lack of alignment of the strategic plan and human resources, the lack of human resource strategy and development, and performance management systems. Emalahleni Local Municipality was then advised to review and reconceptualise its strategy plan to contain objectives which were clear, specific and measurable, and strategic objectives to include a human resource strategy for human resource alignment with the strategic plan. Such

alignment could lead to integrated planning which could be measured to evaluate failure or success in the achievement of the strategic objectives.

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# **CHAPTER ONE**

## **INTRODUCTION**

### **1.1 INTRODUCTION**

The advent of organizational efficiency and effectiveness has brought about an inspiration for placing organizations' objectives into doable plans which are called strategic plans. The strategic plan details how each organization plans to achieve its vision. What is not clear is whether a strategic plan considers the alignment of human resources (HR) with the objectives of the strategic plan.

One way to approach this study was to analyse and interpret the strategic plan of the organization studied to determine its clarity of focus, and its definition and commitment to the objectives of its establishment. Secondly, it was to investigate the alignment between the strategic plan and the human resource plan to determine the relevance of the human resource strategy to the business objectives. The investigation of the human resource plan focused on the recruitment, promotion, training and human resource development. Lastly, the study looked at the relationship between the staff development plan and the objectives of the strategic plan to determine how the performance measurement of the institution linked with the human resource development and contributed to the achievement of strategic objectives.

The main obligation of Emalahleni Local Municipality is to deliver services to its community. As a municipality it is obliged to develop a strategic plan to indicate how it intends to deliver services to its community. To achieve its strategic objectives there has to be appropriate human resources, infrastructural resources and capital resources. Among the three necessities for the achievement of its strategic objectives, human resources is the one that is responsible for the provision of the other two resources. The study sought to determine the relevance of the skills and knowledge of the employees at Emalahleni Local Municipality for the role they had to play and their relation to the objectives of the strategic plan.

## **1.2 STATEMENT OF THE PROBLEM**

The problem that faces Emalahleni Local Municipality is that it is underperforming on its IDP targets and is regarded as a low-capacity municipality which faces numerous challenges in delivering basic needs to its community. This capacity challenge prevails through backlogs in basic service delivery. With each annual capacity assessment of municipalities (2003-2005), the assessment of Emalahleni Local Municipality led to the transfer of some of its functions to the district municipality. The researcher investigated the effect of human resource capacity on the outcomes of the assessment of the municipality studied.

Emalahleni municipality developed a five-point strategic plan (2006-2011) which detailed its intention to enhance its service delivery in the current term. The strategic plan was also a product of compliance with the Local Government: Municipal Systems Act no. 32 of 2000. The skills, knowledge and attitude required for the achievement of the strategic objectives can be attained and retained through an effort contained in the human resource plan. The human resource strategy determines who is recruited, trained, retained and retrenched. Service delivery will not improve if the human resources lack the capacity to translate the action plan into action. Furthermore, municipal performance is inseparable from the performance of municipal employees.

## **1.3 OBJECTIVES OF THE STUDY**

The general objective of study was to determine whether there was an alignment of the human resource plan with the strategic plan in the Emalahleni Local Municipality.

The specific objectives of the study were to

- find out whether the objectives of the strategic plan determined staff employment, capacity building and the optimal utilisation of human resources in terms of performance contracts;

- determine whether there were measurable standards that transpired from the achievement of strategic objectives.

#### **1.4 HYPOTHESIS**

The Emalahleni Local Municipality will not be able to deliver to its strategic objectives if its human resources are not aligned to the strategic plan. Furthermore, the municipal employees will not be able to contribute to improved service to the municipal community within Emalahleni Local Municipality if performance management practices are not Emalahleni Local Municipality-context bound and informed by organizational goals.

#### **1.5 SIGNIFICANCE OF THE STUDY**

Previous academic work on the performance of organizations lacked presentation on the role of the alignment of human resources with the strategic plan as a basis on which to develop the performance management system of the organization. The proposed study contributes to the consideration of human resource plans for integration and alignment with strategic plans for improved performance. This will ensure that the human resourcing of the organization is in line with the vision of the organization and furthermore, that human resource development is utilised as a strategy to bridge the gap between human resources and the needs of the organization. This study will influence the effect of policy formulation and implementation on issues that relate to performance management. The findings of this study will lead to improvements in the conceptualization of strategic plans and human resource plans.

#### **1.6 LITERATURE STUDY**

Literature on strategic planning advances two theories, one, which is systems theory, and the other, which is processual theory (Leopold, *et al.* 1999:23). These different theories

pronounce different views about what an organization's strategy should be like, in terms of its conceptualization and implementation. Writers who favour systems theory view the strategy as a formal rigid plan designed by the top managers to be followed throughout the organization, whereas those who favour processual theory view strategy as an emergent pattern of consistent practices that are a product of interactive efforts with all sections of the organization.

The literature related to the proposed study indicated that the strategic plan had to be "well defined", "well focused", "with clear mission, goals and objectives", and further that it was a strategy in itself to have a human resource plan that was aligned to the organization's strategy. Wright, Kroll and Parnell (1996:292) claim that many organizations fail to have a clearly defined mission, goals and objectives. Alignment of the human resource plan is impossible if the organization lacks a clearly defined, focused mission, goals and objectives.

Wright, *et al.* (1996:290) expose one of the challenges facing managers of public sector organizations in strategic planning as that politicians and managers have different considerations for the strategic plan. What managers may consider to be rational for strategic planning may be considered politically unwise by the political leaders. The implication of this statement for human resource planning will not be investigated as it is not part of this research, unless it arises from the data.

The view of some authors, including Hendry (1995:212-213), is that in order for human resource planning to be integrated with the strategic plan, the human resource executive has to be part of the team which develops the strategic plan. The inclusion of the HR executive enables him/her to make an input into the business strategy which is not limited to issues related to human resources and human resource planning. These authors argue against matching individual employees to particular positions and support the idea of identifying "a pool of people against a group of jobs". The idea is to ensure that a group of people have the flexible long-term capacity to deliver on a strategy. In this way the organization will be measured as having the capability and capacity to face its challenges.

This view suggests that there has to be a responsive effort to provide capacity to the human resources rather than as reactive capacity-building programmes.

Literature presents skilling human resources as making a major contribution towards the provision of capacity to human resources. This claim is that the skills supply strategy has to be a component of the strategic plan that seeks to ensure that the human resource skills strategy advances the aims of the organization's strategic plan. Therefore, the skills supply has to be accommodative of the dynamic business of the public sector organization because it is now and future oriented. Hendry (1995:223-224) writes, "a supply strategy is fundamental to human resource management (HRM) and an essential part of human resource planning". He further states that a skills supply strategy consists of two parts, the first part being "understanding and monitoring the existing and emerging knowledge and skills base of the organization in broad terms", and the second part, "specific interventions to remedy the skills gaps".

Authors including Hendry (1995:224) and Schiovo-Campo and Sundaram (2000:465) list initiatives to remedy skills gaps such as recruitment, training, promotion and redundancy. The view advanced by Hendry is that skills supply strategy is emergent as a business strategy. He further explains his argument by saying that the strategic approach to human resources requires on-going monitoring of the knowledge and skills base combined with the ongoing monitoring of recruitment, training and development by which recognised skills are replenished. The works of Schiovo-Campo and Sundaram (2000:466), Megginson, (1981:205), Armstrong (2003:563) and Gomez-Mejia, Balkin and Cardy (1995:293) recommend training of the personnel as one of the tools to provide capacity to the institution. On the same topic, Schiovo-Campo and Sundaram (2000:466) argue that the contribution of training to the success of the organization is determined by the organizational context in which the skills will be utilised. Applicability of the knowledge gained from training will be studied to determine the context in which the skills will be utilised. The strategy will provide a context in which the training will be applied.

Wright, *et al.* (1996:287) advance that it is necessary for public organizations to have strategic management planning because public organizations are in a dynamic environment and strategic planning enables them to operate efficiently and effectively. They further advance that “the strategic planning must be twofold: planning for services for clients or customers and planning for securing the financial funding to provide those services.” The study wants to investigate whether there is a plan to provide human resources with relevant capacity to provide services, whether the available human resources have the capacity to provide services, determine the relationship between the capacity of the available human resources to provide the service and the plan to capacitate human resources to deliver the planned service.

The human resource plan is the core business of human resource management. Hendry (1995:1) presents various meanings of the term “human resource management”, but the one that fits this study defines human resource management as “matching of employment practices to an organization’s strategy”. He further advances that employment practices must reinforce each other and that employment decisions should be integrated through personnel planning. This statement supports the view which says that personnel planning should also form part of the organization’s strategy. Lastly the alignment of the strategic plan to the human resource plan will contribute to the achievement of the strategic objectives of the organization.

## **1.7 RESEARCH DESIGN AND METHODOLOGY**

The study used combined qualitative and quantitative methodologies because this was programme evaluation. The study was an evaluative research because it sought to indicate areas that interfered with both service delivery and possible future programme evaluation. The focus of the study was both the conceptualization of the strategic plan and administrative structure to make the strategic plan achievable.

The qualitative approach dominated the research process. With the use of the qualitative approach the enquiry sought to develop an understanding of the problem using interviews, qualitatively analysing data in documents and describing the findings in words. Qualitative analysis involved identifying emergent themes and coding data related to the subject studied.

Quantitative methodology was used during the data collection and data analysis stages only. The quantitative approach was used less because the researcher also wanted to test whether the objectives of the strategic plan were clear and focused, and whether the human resource plan was aligned to the strategy of the organization.

Furthermore some research findings were presented statistically to quantify the findings. All in all, the approach was what Creswell refers to, as cited in the works of De Vos *et al.* (2002:366), as dominant less dominant design in that the research process is mainly dominated by the qualitative process with small part of it being quantitative.

**a. Target group and sampling**

The target population was the employees of Emalahleni Local Municipality, from the top manager to the floor level employees. Le Compte and Preissle (1993:57) state that “selection requires only that the researcher delineate the relevant population or phenomenon for investigation using criteria based on theoretical or conceptual considerations, personal curiosity, empirical characteristics or some other considerations”. The population studied was selected because of its empirical characteristics that were related to the research subjects. This population was able to provide empirical data needed to provide the data required for the research questions.

Purposive and non-probability sampling were used. A sample was drawn from the human resource database of the institution which reflected who was employed, when, for what, what skills and knowledge he/she had, what skills and knowledge the job required and who had been developed (in-service training) in what skills. The researcher studied

typical cases of the issue being researched (Struwig & Stead, 2001:123). The appointment dates for the employees were the most deterministic factor for selection of the population from which the sample was drawn. The studied population was constituted by the employees employed during the years 2006-2008.

Permission to conduct research was accessed from the Council and the Municipal Managers as the gatekeepers of Emalahleni Local Municipality and the research participants of the Emalahleni Local Municipality. Participants were also required to fill in consent forms.

### **Sample selected**

The population studied consisted of the managers and general staff of Emalahleni Local Municipality. The sample was constituted by “naturally bounded groups” which had the same contextual factors (Le Compte & Preissle, 1993:62). All participants were from the same organization and employed during the time investigated in the study.

Only employees employed after 2005 were selected. The researcher looked at the selection of what Le Compte and Preissle (1993:59) refer to as the critical factors. LeCompte and Preissle (1993:58) further emphasize the importance of selecting the individuals from the population from which to generate the results. An attempt was made to ensure that participants were selected from each department in the municipality. The institution’s records were used to access data regarding the appointments made from 2006 to 2008.

### **The sample size**

The sample size was small, with a minimum of four employees from each level of the hierarchy. The purpose of the study was to determine the relevance of employees’ skills at various levels of the organization. The study was an in-depth study of the group.

### **The characteristics of the sample**

The sample was constituted of employees from management to floor level employees in the studied organization. These employees may have had the same experience in terms of how Emalahleni effected its recruitment, selection, appointment procedures and employee development programmes.

There was more or less the same number of males and females. Literature claims that the application of affirmative action is a mechanism to provide opportunities to previously disadvantaged groups, among others to women, black people, and people with disabilities. This claim may have had an influence on the recruitment processes of any organization, including the one studied. This claim did not influence the way the sample was selected but would be considered if it emerged during data collection.

### **b. Data collection techniques and procedures**

The following data collection measures were used to ensure social validity: non-participant observation, one-to-one semi-structured interviews and focus-group interviews.

#### **Interviews**

The researcher intended interviewing a minimum of four to a maximum of six employees in each directorate for a maximum of twenty minutes for each employee.

Interviews would be conducted to obtain the subject's verbal contribution about the phenomenon studied. According to Denzin and Lincoln (2000:484), the human consciousness is inseparable from the human experience. The expression of the experiences and views of the staff in the organization in relation to the topic investigated provided rich data to the research.

The focus-group interviews were relevant to the proposed study because the intention was to study a complex phenomenon. De Vos, *et al.* (2002:307) claim that "focus group interviews are a powerful means of exposing reality and investigating complex behavior

and motivation”. Human resource management is a complex system which suits the use of focus groups for data collection. Struwig and Stead (2001:8) state that the aim of focus group interviews is to generate ideas rather than a means to test the prevalence of a particular phenomenon studied.

Face-to-face interviews were conducted in the workplace with the selected employees. The researcher used semi-structured interviews to gain a detailed picture of participants’ views on the topic investigated (De Vos, *et al.* 2002:302).

Semi-structured one-to-one interviews were conducted with four employees who were not members of the focus group to ensure the reliability and validity of data gained from focus-group interviews. The purpose of one-to-one interviews is to seek answers to questions that will provide information in an interview schedule which may fill in the gaps in data gained from the focus-group interviews. Data gained in these interviews may also be used to confirm the data gained from focus-group interviews. “The interviewer introduces the topic, then guides the discussion by asking specific questions” (Rubin & Rubin, 1995:5). The researcher will record everything that happens, what he sees, hears and feels without any preconceived ideas.

### **Document study**

Document study refers to various procedures involved in analysing and interpreting data generated from examination of documents and records relevant to a particular study (Schwandt, 2001:60). For this study the documents of the organization to be studied were policies, legislation, regulations, advertisements for the jobs and private documents which were the profiles of each of the employees (letters of application for employment, CVs, transcripts of interviews and performance contracts).

### **Questionnaires**

Questions for the questionnaire were generated from the statement of the problem and the objectives of study. The study made use of personal questionnaires. De Vos, *et al.* (2002:173) describe personal questionnaires as questionnaires which are answered in the presence of the researcher so that clarity may be given when the need arises. The types of

question were a combination of closed and open-ended questions because the researcher required facts and opinions of the participants on the issues studied.

## **1.8 DELIMITATION OF THE STUDY**

The study limited itself to Emalahleni Local Municipality as a Category B municipality and it focused on its strategic plan and human resource capacity to deliver services to its community. Local Government: Municipal Systems Act no 32 of 2000 section 25 requires that, “each municipal council must within the prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of the municipality which -

- (a) links, integrates and coordinates plans and takes into account the proposals for the development of the municipality,
- (b) aligns the resources and capacity of the municipality with the implementation of the plan”.

The investigation limited itself to the application of section 25 (a) and (b) of the Municipal Systems Act at Emalahleni Local Municipality as a municipality which has legislative and executive powers in its jurisdiction. The study was confined to the current term (2006-2008). Furthermore the focus was on employees as resource that had the capacity to develop the organization and at the same time be developed by the organization. Politicians would not form part of the study but data that emerged from employees as participants that related to politicians would be considered. The findings would apply to the organization studied.

## **1.9 ETHICAL CONSIDERATIONS**

The objects of enquiry for the study were human beings and the documents of the organization. The researcher was therefore mindful of ethical considerations which were

informed consent, the right to privacy, protection from harm, right to anonymity and confidentiality and not deceiving the research subjects.

## **1.10 OUTLINE OF THE STUDY**

### **CHAPTER 2: LITERATURE REVIEW**

The chapter on literature review presents a conceptual framework on strategic planning, human resource development and performance management. The South African legislative framework on the issues investigated is also presented.

### **CHAPTER 3: RESEARCH DESIGN AND RESEARCH METHODOLOGY**

This part presents the research design and methods for the study, research site, obtaining permission to conduct research, population, sampling procedures, obtaining consent from the research subjects and data collection tools.

### **CHAPTER 4: DATA ANALYSIS**

This chapter presents the way in which the collected data was analysed. Emerging themes from data analysis are presented. Statistical diagrams are drawn.

### **CHAPTER 5: FINDINGS AND CONCLUSION**

This part of the research report presents the findings drawn from the collected data. Conclusions are drawn from these findings and recommendations are made.

## **1.11 CONCLUSION**

This study presents challenges that faced performance of the organisation studied, a scientific investigation on the problem of human resource alignment with the strategic plan, as well as recommendations for improved strategic plan. The study highlights the importance of measuring achievement of the strategic objectives. The researcher has a view that human resources should be aligned with strategic plan and that measurement of the performance of municipality should measure performance of the employees of the municipality on achievement of its strategic objectives.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 INTRODUCTION**

The concept of improved service delivery has brought about the introduction of performance management systems in the public sector. Service delivery improvement has become a basis on which to frame accountability for both the politicians and public officials. The strategic plan serves as a guide to the action of delivering service to the public and provides a context for performance management. Human resources play a major role as input and processor in the performance of the organization. Therefore, if the organization is to strive for improved service delivery, human resource management practices have to contribute to the organization's improved service. Literature on strategic planning claims that there is little evidence that shows implementation of strategic plans that includes human resourcing as per the strategic plan. To present existing knowledge and discussion on the topic this work has been divided into four sections.

The purpose of this study was to determine the relationship between the performance management system, human resource management practices and the strategic plan of the local municipality studied. This study would lead to insight into the significance of integrating the human resource plan with the strategic plan.

#### **2.2 STRATEGIC PLAN AND HUMAN RESOURCE (HR) MANAGEMENT**

The purpose of determining the relationship between human resource management and the strategic plan was to determine the influence of policies and practices of the organization on the human resource management of the organization and the influence of human resources on policies and practices of the organization. Graham (1983:111 & 117) states that human resource planning should be informed by the objectives of the organization so that there can be a relationship between the employees and the business

in which they are employed. The relationship between the two comes in from the stage of the strategy making to the stage of strategy implementation. However, strategy is effective when implemented by the organization's human resources and when the outcome of implementation when measured proves to contribute to the desired change. The reason why it is significant to determine the stated relationship is that the human resource is a common factor for achievement of the business strategy. The strategist is the human and the implementer of the strategy is the human.

Strategic planning advances two theories, one, which is systems theory, and the other, which is processual theory (Leopold, *et al.* 1999:23). These different theories pronounce different views about what an organization's strategy should be like, in terms of conceptualization and implementation of the strategy. Some writers view the strategy as a formal rigid plan designed by the top managers to be followed throughout the organization, whereas others view it as an emergent pattern of consistent practices that are a product of interactive efforts with all sections of the organization. The latter definition favours the processual theory of the strategic management whereas the former definition favours the systems theory of strategic management.

Both processual and systems theories have a direct influence on the human resource strategy but contribute differently to the organization's effectiveness, integration and responsiveness. Holbeche (2001:92) quotes Grundy's view that, "the emergent HR strategy does not contribute to organizational effectiveness and that without a formal plan the organization may have difficulty in integrating the human resource plan with the overall organizational planning". Leopold, Harris and Watson's (1999:23) definition of strategy signifies the importance of integrating the emerging pattern and plan: "the strategy of an organization is not the plan that the organization follows but a pattern that unfolds over time in which formal planning can occur to a greater or lesser extent". From this definition, one can deduce that there has to be a formal plan at some stage in strategy formulation and implementation. This is a plan from which to develop increment in the strategy and document the outcome of the increment. Therefore, strategy is an integration of a plan and a pattern. Though there is a view that states that the plan whether formal or

informal is the basis for emergence of the organization's pattern and vice versa, the emphasis is a consistent emerging pattern of formal plans.

Integration can be achieved when the formal structure of the organization and the human resource systems are aligned to the extent that they drive the strategic objective of the organization. Leopold, *et al.* (1999:27) define human resourcing "as a broad pattern to be observed in the various practices undertaken to ensure that human efforts, skills and commitments are obtained, developed and sometimes discarded to help bring long-term survival of the organization". From the above definition, it can be assumed that human resourcing practices should be responsive to the organization's needs. The needs of the organization provide the context for the integration of human resource management.

On the other hand, there are two human resourcing principles, the direct control principle with low worker commitment, and the indirect control principle with high worker control. The view of Leopold, *et al.* (1999:29-30) is that these principles can be applied alternately. For the organization to benefit from its competitive advantage and to have employees that are a competitive advantage to the organization the principle of high-commitment practices with indirect control is highly recommended. High commitment practices are in support of a human resource management style whereby the human resourcing issues including employee growth and task flexibility are an organization's concern as a whole. In support of the view, academics champion the view that strategic human resource management has to be context-bound and flexible to the socio-economic-political dynamics to which the organization is subject. This means that human resources have to be developed to fit the organization's dynamic environment and contribute to the success of the organization's strategic goal.

Strategic control is difficult when the strategic goals and objectives are not clear (Hendry, 1996:297). Strategic control for a well-defined, focused strategic plan may enable the performance management system to specify the conditions for hiring and firing. Wright, Kroll and Parnell (1996:292) claim that many organizations fail to have a clearly-defined mission, goals and objectives with the intention of having an inclusive and

accommodating strategy. The alignment of the human resource plan is impossible if the organization lacks a clearly-defined, focused mission, goals and objectives.

According to Leopold, *et al.* (1999:47) and Armstrong (2003:116-117) there is a two-way link in which the organization's strategies can relate to the human resourcing activities, one being vertical integration, which is about the relationship between the organization, the environment and the human resourcing activities, the other being the horizontal relationship, which is concerned with the relationship between various aspects of human resourcing. The latter is the relationship that determines the compatibility of all the human resourcing activities with one another in the organization. Then two-way link that contributes to human resource (HR) strategy will be the strategic fit to the organization. The two-way link can be possible if the strategy is an emergent pattern that is not rigidly confined to formal plans because factors affecting organizations are changing.

Hendry (1995:6) cites the key human resource management systems as "selection, appraisal and development, including training and rewards". These elements require intensive human resource planning. Human resource planning is defined as a strategic activity that emphasizes employee commitment, creativity, motivation and development (Bramham, cited in Leopold, *et al.* 1999:41) HR planning is a mutually creative, interactive, emergent, reactive and responsive effort to enable the organization to develop, sustain and benefit from its human resource competitive advantage.

Leopold, *et al.* (1999:24) is of the view that the strategies are not objective but a subjective view of those who produce and implement the strategic plans. Their work further advances the fact that among the factors affecting human resourcing are different managerial points of view and emergence of personal and functional interests. The same factors at interplay with economic and political factors have been discovered to be having an effect on strategy-making and implementation. These factors lead to changes in priorities and practices. The effect of the stated factors justifies the need for strategy-making to be regarded as a complex interactive and evolutionary process. The effect of the personality factors on strategy making and implementation has little academic

coverage. Strategies are mostly perceived as objective. Once the draft strategies are adopted by the organization the strategies are owned by the organization as a whole. The measurement of their success has to be objective.

Wright, *et al.* (1996:290) exposes one of the challenges facing managers of public sector organizations in strategic planning: there are different considerations for the strategic plan between the politicians and the managers, in that, what may be considered as rational for strategic planning may be considered as politically unwise by the political leaders. The implication of this statement for human resource planning has been discovered to be the negative impact on the achievement of the strategic goals of the organization.

Holbeche (2001:14) writes that the debates about the human resource 'fit' with business strategy has been pursued with the academics presenting an argument that dismisses the contribution the 'human resource fit' with strategies makes to the effectiveness of the organization. In the same work, Holbeche concludes by indicating that recent research on the subject has "found a statistically significant link between 'bundles' of HR policies and business performance." This means that internally consistent and business-aligned HR practices enhance business performance.

A strategy should state how human resources are aligned to business. Writers argue against matching individual employees to particular positions and support the idea of identifying "a pool of people against a group of jobs". The idea is to ensure that a group of people able to deliver on a strategy have the flexible long-term capacity to deliver on the business strategy. In this way, the organization will be measured as having the capability and capacity to face its challenges. This view suggests that there has to be a responsive, deliberate effort to provide human resources with capacity and provide capacity to the existing human resources to perform better rather than for reactive capacity building programmes. Then the next argument becomes, who has the responsibility to ensure that the human resource plan is aligned to the strategic plan.

The discussion of who has to design a strategy in an organization contributes to different views based on different theories. Some authors, including Leopold, *et al.* (1999:23), advance that every manager must be given a role to play so that every manager becomes a contributor to the organization's strategic processes because strategic plans integrate the organization's goals, policies and actions. Other authors', including Hendry (1995:212-213), view is that, in order for human resource planning to integrate with the strategic plan the human resource executive has to be part of the team which develops the strategic plan. This inclusion of the HR executive enables him/her to make an input into the business strategy which is not limited to the human resource-related issues and the human resource planning.

Academics state that the human resource plan is the core business of human resource management. For better understanding of the human resource plan, the term "human resource management" has to be clarified to provide the context for human resource planning. Hendry (1995:1) presents various meanings for the term "human resource management" but the one that fits this study defines human resource management as "matching of employment practices to an organization's strategy". He further advances that employment practices must reinforce each other and that employment decisions should be integrated through personnel planning. This statement supports the view that personnel planning should also form part of the organization's strategy. In this way, human resource practices can contribute to the achievement of the strategic objectives of the organization.

Discussions about human resource management (HRM) emphasise the importance of having human resources with relevant skills for the roles they have to play in their employment positions. Hendry (1995:223-224) writes, "a skills supply strategy is fundamental to HRM and is an essential part of the human resource planning". He further states that a skills supply strategy consists of two parts, the first part being "understanding and monitoring the existing and emerging knowledge and skills base of the organization in broad terms", and the second part, "specific interventions to remedy the skills gaps". The first part of the skills supply strategy enables the organization to take

into cognizance the capabilities the employees possess and are likely to possess, whereas the second part addresses the gap between the skills the organization needs and the skills the employees have. This means that the skills supply strategy has to be responsive and interactive as the strategic plan.

Hendry (1995:224), Schiovo-Campo and Sundaram (2000:465-466), Megginson, (1981:205), Armstrong (2003: 563), and Gomez-Mejia, Balkin and Cardy (1995:293) identify initiatives to remedy skills gaps as recruitment, training, promotions and redundancy. They claim that capacity given to employees capacitate the institutions they serve. Skilling human resources is a major contribution to providing capacity to employees. The claim is that the skills supply strategy has to be a component of the strategic plan that seeks to ensure that the human resources skills strategy advances the aims of the organization's strategic plan. The view advanced by Hendry is that the skills supply strategy is emergent as a business strategy. He further concludes his argument by saying that the strategic approach to human resources requires on-going monitoring of the knowledge and skills base combined with the ongoing monitoring of recruitment, training and development by which recognised skills are replenished. Therefore, the skills supply strategy has to be developed to the extent that it is accommodative to the dynamic business of the public sector organization because it is present and future oriented.

### **2.3 STRATEGIC PLAN AND GOVERNMENT**

Matheson, Scanlan and Tanner (1996:1) admire the rationale for a strategic approach to government. They state that government is a complex organization requiring high quality decisions that guide management and the implementation of decisions on day-to-day operations. They claim that clear and focused well-defined decisions are an indicator of successful government. On the same work Matheson, *et al.* state that strategic management is about developing a management system that provides greater assurance of quality decision-making and overall performance. They emphasize the role of empowerment, good understanding of government priorities, behaviour and actions that are relevant to what the government wants, as well as the ability to assess the impact of

decisions and actions on the government system. This means there is a relationship between the quality of decisions made in government and government performance. A strategic approach to government management enables government institutions to plan to successfully achieve what they are meant to achieve.

Wright, *et al.* (1996:287) advance that it is necessary for public organizations to do strategic management planning because public organizations are in a dynamic environment and strategic planning enables them to operate efficiently and effectively. They further advance that “the strategic planning must be twofold: planning for services for customers and planning for securing the financial funding to provide those services.” Therefore, it is the responsibility of each organization to ensure that it has a plan to recruit human resources with capacity to provide the services which the organization is meant to provide, and to continuously monitor the relevance of knowledge, skills and values of the available human resources to the dynamic state of the organization, and plan to capacitate their human resources to deliver the planned services.

In explaining the role of human resources in government service delivery, Thornhill (2005:181) writes that human resources are utilised in the public sector to give effect to policies determined by political executives, whereas at the same time they provide advice to the political executives. Public officials are appointed because of their expertise in the various functions executive institutions have to perform. Local government has the legislative and executive powers. The public officials who are chief executive officers and the managerial staff have to interpret the community needs and give advice on decisions made in terms of administrative, managerial and resource implications for the organization. This means that local government politicians have responsibility for employing chief officials with the skills, knowledge and capability required by the organization and in turn, chief officials have to appoint staff with the skills, knowledge and capability to transform organizations’ objectives into deliverables.

Matheson, Scanlan and Tanner (1996:2) and Van der Waldt (2004:33) write that good performance from government is not only in the interests of the public managers but it is

also an expectation of the citizens. Therefore, decision-making and implementation aim at the achievement of this public expectation. They further state that for decisions to be successfully implemented decision-making must go hand-in-hand with resource allocation and risk management from the highest to the lowest level of implementation. Achievement of the organization's objectives can be claimed if it spells out the achievement of the requirements of the recipients of services. The mechanism for risk management should include developing a performance management system that justifies the expected outcomes well in advance of performance.

A key element of strategic management is being able to “select a few critical objectives from many important” and to focus resources and measure performance (Matheson, Scanlan & Tanner, 1996:4). These selected objectives may be used to develop performance agreements for human resources. The organization's structures have to be related not only to its strategy but should also be a means to enhance organizational efficiency in delivering its services. Flatter organizations are recommended for strategic control in the organization rather than steep, tall structures. This means that the structure of the organization must facilitate achievement of the strategy of the organization.

The major challenge faced by government is that policies, strategic decisions and functional strategies contained by rules governing personnel are designed in such a way that public managers have weaker authority over subordinates on issues such as performance, pay, promotion, termination of services and disciplinary action (Wright, *et al.* 1996:295). This prevents human resource management from contributing to the success of the objectives of government as an organization. It also means that the outcome of monitoring and evaluation of performance does not translate into the next plan of action, which may be sustaining and remediating the assessed action.

## **2.4 PERFORMANCE MANAGEMENT AND STRATEGIC PLAN**

Performance management is a process of improving the quality and the quantity of work done, including all activities and processes that lead to the productivity of the

organization. These activities are inputs, processes, outputs and outcomes (Van der Waldt, 2004:39) which are line with an organization's objectives. These are actions of continuous enhancement of the organization's service, while at the same time sustaining the integration of all the organization's systems so as to lead to achievement of the goals of the organization. According to the Province of the Eastern Cape Administration Performance management manual (p13), the objectives of performance management are:

- To provide a systematic framework for performance planning, performance monitoring and review and performance appraisal.
- To promote a shared sense of responsibility amongst staff for the achievement of strategic goals and objectives.
- To promote a culture of transparency and participation through open dialogue about goals and achievement thereof, personal development, and performance improvement.
- To provide a framework of assessment for identifying good and poor performance, and act appropriately by developing, recognizing and rewarding of good performance.
- To align employees' performance to departmental strategic and operational goals.
- To encourage managers to effectively create conditions for staff to perform optimally.

This suggests that performance management has to be implemented in such a way that it enables the organization to perform better.

According to goal-setting theory, people work better when they have clear, realistic and significant goals (Leopold, *et al.*1999:197). The expectancy theory suggests that people will put more effort, energy, enthusiasm, excitement and all that they can into their work if they believe their efforts will result in tangible achievements that will help them fulfil their personal needs (Leopold, *et al.*1999:196). Though both theory applications may lead to an improvement in performance, the goal-setting theory is more organizational goal focused. Goal theory also justifies reasoning for organizations to design the strategic plans. Baron and Kreps (1999:219) support the view that suggests that the performance evaluation system should be informed by the goals of the organization.

The organization applying the goal-setting theory may find that it enhances the achievement of the strategic goals but lacks clarity on the element of integrating human resource development to target goals. The expectancy theory lacks clarity as to whether there is a relationship between organizational achievements and personal achievements by the human resources. Leopold, *et al.* (1999:170) cite Hackman and Oldham (1976), stating that employees perform better when there is clarity about their roles regarding the achievement of the organization's objectives and goals. Their work on goal theory further recommends publishing documents indicating how each job contributes to the commitment of employees to the achievement of the objectives of the organization in the programme structure. Goal theory can therefore be applied by organizations that support the processual practices of continually reviewing both human resource practices and the organization's practices as a whole.

Measuring performance for excellence in service delivery is the goal of public service as a means of monitoring and evaluating in order to get feedback as to whether the structures and systems that are in place are leading to organizational efficiency and effectiveness. Jarrar and Schiuma (2007:5) write, "performance measurement systems provide the public sector with means for planning and implementing strategies, for influencing organizational behaviour and to focus, compel, monitor and reward people, for communicating with stakeholders both internally and externally, and for adopting and developing the principles of a learning organization".

This statement implies that performance measurement not only focuses on performance indicators but also on "open communication" between the organization, employees and the broader community. Performance measurement provides accountability to various stakeholders, which may be called 'people' in the case of the public service. Public accountability is in the best interests of a democratic government.

Measuring government performance is difficult because the outcome of the performance depends on many factors including the time lapse between the effort and effect (Van Der Waldt, 2004:48). The difficulty in measuring government performance results in loss of

focus in performance measurement and as a result, what is measured is the direct output and not the outcome. This leads to focusing on quantity and timeframes at the expense of quality, i.e. a performance report would say, municipality A has delivered 6 kilolitres of water to 60% of the indigent families by July 2008. A statement like this would mean that the outcome has not been explained. From the fictitious performance report presented above it is not possible to explain the effect of the mentioned performance on the quality of life and whether what has been done is sustainable quality.

On the same view, Jarrar and Schiuma (2007:5) comment, “on a practical level, the focus on the inputs and results has not been successful in the public domain”. They present the findings of qualitative and empirical research on the effects of the unsuccessful focus on output and results as that it has affected the link between employees and their organization negatively, and as a result, has changed the human resource management and decision-making styles within the organizations. Managers have become more focused on obtaining immediate results to the detriment of the long-term vision and the ethos of the public sector, which are equity, resilience, security, efficiency, effectiveness, sustainability and economy.

Leopold, *et al.* (1999:167) recommend further research on the body of knowledge of performance management as they have discovered it to be “full of things of value and things of doubtful provenance and utility”. In advancing this argument, they state that all performance management techniques can be challenged. Amongst the areas they raise for enquiry is the relevance of performance measurement systems to organizations, including targets for measurement and the skill of managers to interpret data correctly. The implication of this statement is that it may be difficult to single out any performance measurement technique as the most suitable for public organizations. It may also be difficult for organizations to justify their capacity and even their lack of capacity to apply performance management systems efficiently and effectively without the actual application. Difficulties have to emerge from application and lead to innovation.

Despite the criticism presented on performance measurement practices there are benefits enjoyed by internationally developed economies such as improved government performance and accountability ratings as witnessed in the OECD countries (Jarrar & Schiuma, 2007:5). Academics have recommended the use of “organization strategic, goal-oriented and multi-dimensional models of performance measurement such as balanced scorecard” in public institutions as alternatives to singular-focused performance measurement. The findings by Radnor and McGuire (2004:252) on performance management in the public sector present perceived benefits from the use of balanced scorecard as being that it has multi-dimensional integrated benefits for organizations as a whole which further contribute to aligning of strategy, human and financial resources, organizational performance and learning, leading to better performance. They report that the perceived benefits do not always yield positive results in all organizations under all circumstances. This statement justifies the need for development and implementation of a context-friendly and interactive performance measurement system by each public organization that will lead to ownership of the system and working on it will suit the capacity of the organization.

Another argument that is raised in this chapter is the level of focus of the performance measurement. Leopold, *et al.* (1999:170) write that in practice it is difficult to decide on the level of focus, whether it is an individual, team, department, subordinates or senior managers, or the whole organization because of overlaps among individual targets, teams and departments’ targets. Van Der Waldt’s (2004:39) definition of performance management provides a response to the concern of the level of focus: “all those processes and systems designed manage and develop performance at the level of the public service, specific organizations, components teams and individuals”. This indicates that measuring the performance of the organization as a whole begins from measuring individual performance as an individual member of a team of an organization or section of an organization and continues to measure teams and sections up to the organization as a whole. In support of this view Van der Waldt writes, “organizational performance is determined in part by the individual performance of its employees”. Therefore, each

individual performance in the organization must add value to the achievement of its objectives.

The major challenge to performance management is the implications of abnormality from the individual performance to the team where the theory application for the organization is the expectancy theory. To overcome this challenge the application of a processual view is recommended to address the overlaps in targets in that it allows for discussions, debates, negotiations, reviews and adjustments of responsibilities and consequences of overlaps (Leopold, *et al.* 1999:170). In the processual engagements contribution are from both the appraisee and the appraiser to justify the consequences and the need for adjustment, which in turn lead to collective efforts to achieve the target objectives by continually improving organizational practices. In this way integration between organizational practices is emergent and human resources at different levels of the organization are involved.

Another challenge raised about the practice of performance management is that it is more difficult to measure important things about the organization's performance than less important things (Leopold, *et al.* 1999:173). The work of Van der Waldt (2004:8) also cautions that the ease of measurability is not necessarily an indication of importance. The implication of these statements is that measurement of performance of the key objectives of the organization may not be justified by targeting only the 'easy to measure' aspects of the organization. Additional to the challenge of easy and difficult to measure objectives is the tendency of managers and staff to focus their efforts to perform better only on the set targets and objectives which are also easy to target for measurement. The outcome of this practice is that some of the organization's objectives can be achieved at the expense of the others.

The focus of performance measurement has to be on the evaluation of efficiency and effectiveness of the relationship among the inputs, processes, outputs and outcomes. The work of Van der Waldt (2004:33) presents human resources as the input with capability of transforming resources through the management system during the process stage to

contribute to output that is service delivery and the outcome may be the improved quality of life. The relationship between the inputs, processes, output and outcome may be achieved if the systems of the organization are aligned. Performance measurement has to consider all the elements that affect the productivity of the organization.

In the case of local government, measuring important things might be easier because the Minister of Provincial and Local Government in consultation with the Members of the Executive Council and South African Local Government Association (SALGA) set the national key performance indicators for local government that municipalities have to incorporate in their integrated development plans. Van der Waldt (2004:59) lists the key performance indicators against which the municipality is measured nationally and must measure itself as follows:

- The percentage of households with access to basic levels of water, electricity and solid waste removal
- The percentage of households earning less than R1100 per month with access to free basic services
- The percentage of municipality's capital budget actually spent on capital projects identified for a particular year in terms of the municipality's integrated development plan
- The number of jobs created through a municipality's local economic development initiatives, including capital projects
- The number of people from the employment equity target group employed in the three highest levels of management in compliance with a municipality's approved employment equity plan
- The percentage of the municipality's budget actually spent on workplace skills plan
- Financial viability as expressed in ratios by the Department of Provincial and Local Government.

The presence of nationally-agreed performance indicators and the legislative demand for an annual report on municipal performance defies uncertainties about what municipalities

as institutions must target for measuring and on what municipal employees must have the capacity to deliver.

What is not clear is who and to what level employees at local government level are involved in target setting and designing methods of performance measurement. Jarrar and Schiuma (2007:6) present the United Nations Department for Economic and Social affairs's (2005) research findings on the matter which state that "there is conflict between the usage of top-down agency performance indicators and bottom-up standards of quality and customer responsiveness". The implication of this statement is that a performance management system is imposed by officials from either higher echelons of the organization or a consulting agency which has not succeeded in delivering the goal of the performance management system. Where the performance management system is produced by consulting agencies it may difficult to claim that it will respond to the contextual issues of the organization in which it is applied.

The presence of a performance plan does not imply that the organization has the capacity to be able to administer and monitor its performance for improvement. Leopold, *et al.* (1999:189) write, "there is no solid evidence that performance management improves an organization's performance, but there is evidence that people can find it helpful in interpreting and evaluating their organizational roles." Van der Waldt (2004:9) advances that when performance measures and performance indicators are used wisely they help management to improve economy, efficiency and effectiveness. In my view, 'the wise use of performance measure' is the ability to develop and apply a performance measurement method that fits the organization, and continuously develops mechanisms for improvement in areas where there are weaknesses. Participatory and transparent approaches to performance management are suitable for public institutions like municipalities.

Challenges raised about performance do not out-weigh the benefits it has for the public sector. The benefits of effective performance management are that

- they link the jobs of individuals or teams to the objectives of the organization;

- they contribute to clear targets on what to measure and how to measure, thus resulting in transparency;
- organizations' objectives and the outcomes of performance measuring provide the basis for employee development;
- they provide opportunities for continuous improvement of the organizations' capacity for service delivery;
- they provide the basis for performance accountability;
- they provide an early warning system;
- they relate quality to quantity;
- they determine cost effectiveness benefit;
- they form part of the organizations' learning;
- they form the basis for organizational change.

In support of performance measurement, Hatting (2005:<http://www.siamas.org.za/SJournal> May2005Bhtm), writes that it is impossible to manage performance that is not measured. Performance management is aimed at promoting organizational efficiency and effectiveness. If organizations are aiming at improved service delivery, they have to measure their performance to be certain about improvement in performance.

## **2.5 PERFORMANCE MANAGEMENT AND HUMAN RESOURCE DEVELOPMENT**

The performance management challenges of each organization are either limited or facilitated by the capability of employees to administer and interpret the achievements of the objectives of the organization. Employees need to be trained to understand the purpose of performance management, to develop, administer and interpret performance management so that they have a sense of ownership and become accountable for the performance management system (Radnor & McGuire, 2004:258). This indicates that performance management is inseparable from human resource development. The commitment to continually improving organizations' performance compels organizations to have responsive human resource management plans and employees to develop

personal development plans (PDPs). Leopold, *et al.* (1999:182) quote Floodgate and Nixon (1994) as recommending the positioning of individual PDPs within the organizational process of performance management. In this way, individual employees' needs for development are based in the gap between the individual's performance and the performance needed by the organization from the individual employee. This gap may be the lack of the skills required to perform a given job in the organization. The gap in employees' skills negatively affects the organization's capability to deliver services. This leads to underperformance in organizations.

Hendry (1996:296) identifies the factor in the public sector that promotes underperformance as the fact that rewards in the public service are based on merit rather than performance. The finding presented by Jarrar and Schiuma (2007:6) support the view by Hendry and state that the formal processes of rewards and penalties are not linked to the achievement of targets. This means that there is no connection between job performance and public servants' compensation. Additional to this claim is that the employees' behaviour is challenged mainly through a set of rules and procedures and not strategy implementation. This statement implies that rules and procedures governing employee behaviour are not always challenging an effort towards the implementation of the business strategy. In support of the view of human resource management that facilitates strategy achievement, Schiovo-Campo and Sundaram (2000:466) state that rules, procedures and incentives are enabling factors for effectiveness of the capability gained from training to be translated into the capacity of the organization. Therefore rules, procedures and incentives have to be utilised to the extent that they lead to efficient and effective productivity.

A South African perspective on how to enhance the capability of employees may contribute to improved service delivery. Naidoo and Kuye (2005:620), in their discussion about the importance of sustainable service delivery in South Africa, refer to the development of a skills audit base in order to determine issues related to skills that affect service delivery. The work of Schiovo-Campo and Sundaram (2000:465) supports the view that the knowledge, skills, and abilities of government employees are important to

produce goods and services efficiently, effectively and responsively. They further recommend that government renew the human resources and provide training to the employees in order to be able to cope with the dynamic expectations of government institutions including local government. In their argument, they emphasize the need for utilisation of the gained skills, which can be achieved if there is a link between the training received and the job to be performed, and that performance be enhanced by recognition of improved performance. Leopold, *et al.* (1999:229) raise an argument in support of their view which advances that training and development benefits are meaningful only when the gained knowledge and skills are applied and are relevant to the organization and also advances the need for evaluating the relevance of training to the achievement of organization's goals. The relevance and application of skills are two separate issues which when used meaningfully together may lead to improved service delivery.

On the same argument of the application of skills gained, Hendry (1996:297) raises another dimension, "in instances where the required skills exist, balancing commitment to the organization is often compromised for expertise focus by those with specialised skills". This behaviour shows lack of integrated effort in working towards the success of the organization's business as a whole. To address the challenge of integration Leopold, *et al.* (1999:227) recommend the involvement of training and development practitioners in human resource strategy making, and even in discussions on how strategic plans can be achieved. That also includes mechanisms for measuring the benefits of employee training and development to the organization. From the above discussion it can be deduced that training and development are a human resource strategy that has to be utilised in a required integrative, interactive and responsive manner throughout the organization.

Hendry (1996:298) cites lack of funding as one of the factors contributing to under-performance. This lack of funding makes it imperative to cut programmes without consideration of whether they are a priority or necessity to the organizations. At times lack of funding affects the human resourcing activities which may provide required

capacity to employees and organizations. To overcome this challenge literature recommends development of a strategy that appropriately relates strengths and weaknesses to the environment of the operation of the particular strategy. Performance management has to be integrated with organizations' budget processes so that budget processes enhance performance management. Therefore, the organizational structure and human resource development must be established so that it enables enhancement of operational efficiency and effectiveness. The budget processes must also enhance performance measurement. In this way, issues of labour costs versus customer satisfaction will be easy to measure.

## **2.6 CONCLUSION**

Measuring performance is about measuring the effectiveness of the workforce to ensure the success of the strategy. The primary goal is to improve the performance of the organization. It contributes to information for the review of the organization's strategy and can provide the basis for incremental contribution to the strategy of the organization. Therefore, the outcome of the implementation of a strategy and performance management should inform what is to emerge from the reviewed strategy and performance management system.

## **CHAPTER THREE**

### **RESEARCH DESIGN AND METHODOLOGY**

#### **3.1 INTRODUCTION**

Research design presents the type of research used to conduct the study. It includes the research methodology which presents research approaches and instruments used for data collection. The research design chosen by the researcher enabled the researcher to use data collection methods that suited the research problem.

The research design used in this study was an evaluation research. The use of the research design and research methodologies was determined by the research problem and the aim was to produce data would be reliable and valid. The research methodology used was a combination of less dominant quantitative and more dominant qualitative research methodologies. The dominance of the qualitative research approach over the quantitative research approach was applied throughout the research from data collection to data analyses and presentation of the findings. Data collection instruments were varied for validity of the findings. A variety of data collection instruments enabled the researcher to triangulate the data received. A descriptive report constituted the main report format of this study.

#### **3.2 RESEARCH DESIGN AND METHODOLOGY**

The evaluative research design was used to enable the researcher to come to a conclusion about the process, implementation and effectiveness of aligning human resources with the strategic plan for improved performance of the Emalahleni Local Municipality. “The researcher who does evaluative research seeks to come to a conclusion about the effect or success level of some happening or intervention which may be a procedure, an event, or anything else that requires structured evaluation and appraisal” (Hofstee, 2006:126). The researcher regarded strategic planning as an intervention programme for improved

service delivery that required structured evaluation. The researcher wanted to evaluate why Emalahleni Local Municipality underperformed on its integrated planning and development targets which are the strategic deliverables of the Municipality.

The research weakness of the evaluation research of this study was that evaluation of the programme studied was not planned in the initial programme planning as is the case in other evaluation researches, for instance in evaluability assessment. The strength of evaluative research design in this study was that it enabled the study to extend the research focus from determining the extent of alignment and non-alignment of human resources to the strategic plan to include investigation of the reasons informing the existing practices from strategy formulation to strategy implementation, human resource management and performance management. Evaluation research had been used in previous research to evaluate intervention and programme effectiveness, which involved process and implementation evaluation (Jenner & Jenner, 2007:215). Berk and Rossi (1999:2) write, “evaluation research includes evaluation of the design of social programmes, the ongoing monitoring of how well programmes are functioning, the assessment of programme benefits relative to its costs”.

Barton (2002:371) states that the challenge faced by evaluation researchers, is that the findings from evaluation research are sometimes used for purposes other than those intended by the researcher. Barton cautions against the changing roles of the researcher, and cites a situation where a researcher may intend to be a passive observer, then ends up as an active participant given the differing views about the role of the researcher between the researched and the researcher. Wilmoth (2001:198) raises the issue of neutrality and objectivity of evaluation researchers and argues that it is important for evaluation researchers to take cognisance of the fact that the evaluation of a programme does not justify that certain programme goals are right or wrong. Wilmoth further writes that certain programme goals have the chance of leading to certain outcomes as against another unless those have been tested and supported by data. An evaluation study has to be well designed, with convincing methodology for it to be taken as valid and reliable.

Literature on evaluation research is in agreement that evaluation research delivers an outcome that contributes to furthering policy making and development. Evaluation research helps the policy makers to detect whether the policies and programmes they have designed are a success or a failure and whether the policies and programmes are in prospective or in operation stage (Berk & Rossi 1999:3). Berk and Rossi also caution that the evaluation researcher should not substitute the role of policy makers in making their own judgment about their policies and programmes, and further that the evaluation researcher should not circumvent the political processes by trying to present the researchers as the policy makers. Wilmoth (2001:202) further writes, “the critical factor in evaluation research is credibility of the researcher and the study”. The researcher is informed by the collected data only without subjectivity. “The evaluation programme is intended to assess the worth of the programme relative to its goal” (Wilmoth, 2001:203). Griffith and King, as cited in the work of Powell (2006:104), state in their list of principles of good evaluation, that “evaluation research must be more descriptive, take into account relationships among operational performance, users, and organizations” and emphasize that, “evaluation methods should be related to organizations’ goals and objectives.” This study investigated, described, analysed and interpreted the content of the strategic plan and the human resourcing practices of the organization in relation to its goals.

The study used combined qualitative and quantitative methodology because it was programme evaluation. Powell (2006:114) states that the use of more than one method increases the reliability and validity of the study and its findings. The study sought to determine the quantity and quality of the programme activities. The quantity and quality of the outcomes that the programme was achieving would determine the weaknesses and strengths of the programme at a formative stage as the research process was more of a formative research. Formative evaluation was conducted to identify programme weaknesses and strengths (Clarke, 1999:7), to provide a basis for programme improvement.

Numerical descriptions detailed which and how many indicators of the human resource activities were related to the strategic plan, whereas narrative descriptions were aimed at expressing the perspectives, views and opinions of the research participants in relation to the study. The study outcomes may also be utilised as the evaluability assessment because the study sought to indicate areas that interfered with both service delivery and with possible future programme evaluation. In defining the use of evaluability assessment Trevisan and Huang (2003:1), Berk and Rossi (1999:13) and Clarke (1999:13) write that evaluability assessment can be used as a strategy to determine the extent to which the programme is ready for full evaluation. This means that programme evaluation is inclusive of evaluability assessment

Programme evaluation conducted in this study was not planned during programme planning as some literature suggests. It was conducted for research purposes only. The researcher began by selecting, identifying and documenting the programme components, activities and indicators that related to the strategic plan and human resource practices. The aim was to determine the presence of the programme components, activities and indicators that related to human resource activities. Gajda and Jennifer (2004) advance the idea that for the purpose of programme evaluation, programme planning has to include identification and documentation of the programme outcomes, activities and indicators to be evaluated, but if that has failed it has to be the first step by the evaluation researcher that can be done during any stage in the programme implementation. Powell (2006:114) also presents the view that evaluation research should be an integral part of project planning. However, though this is a view advanced by some authors, there is no objection to the evaluation research conducted without being part of the programme planning. Clarke (1999:5) writes, “programme evaluation is a theory-focused activity that also considers the relevance of various components of programme evaluation and makes predictions about future developments.” The programme components, outcomes, activities and indicators were used to generate themes during data analysis. The intention was to look at how each element of human resource management happened. Authors including Powell (2006:109) define programme evaluation as, “looking at how something happens rather than or in addition to outputs and outcomes.” Patton, as cited in the works

of Powell (2006:106), suggests that there should be a logical continuum that includes the inputs, activities and processes, outputs, immediate outcomes and long-term impacts. Clarke (1999:6) is of the view that information about the inputs, outputs and outcomes relating to programme activities or performance of the organization is found in the key performance indicators of the programme. This suggests that there is a thin line in the focus of study between evaluability assessment, programme evaluation and process evaluation. Clarke (1999:14) writes that evaluation activities are not mutually exclusive as one evaluation study features in the other. The choice of research design was influenced by the research questions.

The use of evaluation research with a combination of qualitative and quantitative research methods made the researcher use a variety of data collection methods suitable to the research question. The sections that follow indicate how the study was conducted using the research methods indicated in this study.

#### **a) Population and sample**

The researcher targeted a maximum of 30 participants because the researcher wanted to have as many respondents as possible. The total number targeted was 30 participants which constituted 80% of the population studied as recommended by Stoker in De Vos *et al.* (2002:201), that when the population is small the researcher must select as many participants as possible. According to information from the human resources database, there were 38 employees employed in the period under study. The participants who responded were 15, which is 39% of the targeted population but 50% of the sample. The participants who responded were more than one-third of the total population. Some participants needed the questions to be administered in an interview format and to be translated into Xhosa with the researcher personally recording the responses in English.

The study used a probability sample for the selection of participants to constitute the sample from the studied population in that all members of the population had an equal chance of being selected. Within this sample, stratified sampling was used to ensure that each department in Emalahleni Local Municipality was represented.

### **b) Data collection techniques and procedures**

Documentary survey, face-to-face interviews, focus-group interviews and questionnaires were used to collect data. An interview schedule (see appendix B) and questionnaire instruments were specifically designed to generate primary data for the study questions. Clarke (1999:67) writes that the choice of methods is guided by the need to use a method that will provide answers to evaluation questions. Clarke further cautions evaluation researchers that they should pay attention to the circumstances under which data is generated and gathered.

Permission to conduct research was accessed prior to proceeding with the research from the Municipal Manager of Emalahleni Local Municipality and the research participants. The research participants were all employees of Emalahleni Local Municipality. The researcher was mindful of the fact that the strategic plan was the product of interaction between the municipal employees and the councillors but purposively selected the employees as the participants who could generate rich data on the topic studied. Secondly, the researcher did not want to tamper with political issues related to the formulation and implementation of the strategic plan, as recommended by Berk and Rossi (1999:3). The research participants were informed of their right to consent to participate in the research so that they understood that it was their right to participate or to decline to participate and to enable the research participants to be aware of the objectives of the study prior to participation.

### **c) Pilot study**

To test the response rate and feasibility of the data collection instruments, research instruments were used to randomly select convenient employees from the same organization studied prior to the actual research. Billham (2000:42) writes that the participants of the pilot group should have similar characteristics as the “real” research participants. To achieve this, the pilot study participants had the same elements as the participants of the research. The research instruments were piloted by administering questionnaires and interviews to three research participants who were randomly selected from the population studied. The aim was to determine the average time required to finish

answering the questionnaire and engagement on interviews respectively (McLafferty, 2004:189). The pilot study included determination of the difficulties that might be encountered by the participants in understanding the questions.

The difficulties that were encountered were that the participants with education levels below matric needed translation of questions into Xhosa. Another difficulty was that participants preferred the workplace as venue of interaction with the researcher. This venue proved to be interruptive as the participants were participating in other work-related tasks while at the same time responding to the questionnaire. This made it difficult to establish the actual time needed to answer the questionnaire. Appointments with the research participants for interviews had to be rescheduled more than once. Besides all the shortcomings, the purpose of the pilot study was achieved, in that the researcher was able to detect language difficulties that might be encountered during the actual research. Bebee (2007:213) states that a pilot study also helps the researcher to gain experience with the participants.

#### **d) Documentary survey**

Documentary survey refers to various procedures involved in analysing and interpreting data generated from the examination of documents and records relevant to a particular study (Schwandt, 2001:60). Clarke (1999:85) writes that documentary material provides a valuable source of information about the formal goals and aims of a programme. The purpose was to gain important information from the documents about objectives, the content of the programme and the progress made to achieve the objectives of the programme.

The focus of the study was conceptualization and implementation of the strategic plan with special focus on human resource practices to determine how the organization was structured to make the strategic plan achievable. Permission to examine documents was secured with management of the organization before the document study was done. The managers required the researcher to sign the oath of secrecy. The Oath of Secrecy was an

affirmation to maintain secrecy on the matters that were a secret of the organization, Emalahleni Local Municipality. The privacy of an organization's documents is acknowledged in the work of Clarke (1999:84): "not all classified documents as being for public domain are open to scrutiny and not all private personal materials are difficult to access".

In this study, the organization's documents studied were the strategic plan, integrated development plan, human resource plan, pieces of legislation, regulations, advertisement for jobs and private documents which were included in profiles of the employees. Trevison and Huang (2003:4) state that documents provide a sense of intent about the programme, activities that are taking place and the context in which they occur. The purpose of the document study was to identify and document the goals, objectives, outcomes, activities and the indicators of the programme (strategic plan and the human resource plan) studied. Gajda and Jennifer (2004) point out that, "the outcomes are what you ultimately want the programme to accomplish, the activities are what you will do to get there and the indicators are the gauge of whether, and to what degree, you are making progress".

The data from the documents surveyed were reliable as they were a true reflection of the organization's practices. Some of the records were open for public comment, i.e., the strategic plan; some were part of the accounting documents of the organization (integrated development plan) whereas others were for public consumption (advertisement for interviews). Reliability was further validated by the fact that record-keeping practices of the organization studied are a legislative obligation. The researcher took advantage of her being a councillor of the municipality under study to access and study some of the documentation without having any difficulty gaining access to them. Prior permission to use the documents for research purposes was granted by the management of the institution.

### **e) Interviews**

“The purpose of interviews in evaluation is to capture the complexities of the individual perceptions and experiences” (Clarke, 1999:72). The research under study took place in the real world of the programme evaluated, which is Emalahleni Local Municipality. The research participants were the managers and the staff of Emalahleni Local Municipality. The time and place for the interviews were negotiated with the municipal managers and individual research participants. The time targeted and agreed upon for interviewing the participants was during lunch to avoid interruption due to work-related matters. Interviews were conducted to obtain the employees’ verbal expressions of facts, opinions and insight about the integration of human resources with strategic plans for improved performance of Emalahleni Local Municipality. The purpose was to get inputs from employees about objectives, the content of the programme and the progress made to achieve the objectives of the programme.

### **f) Focus-group interviews**

The focus-group interviews were relevant to the study as the intention was to study a complex phenomenon. (De Vos, *et al.* 2002:307) write, “focus group interviews are a powerful means of exposing reality and investigating complex behavior and motivation”. Stewart and Shamdasani (1990:52) write that focus-group interviews are helpful when little is known about a phenomenon. Alignment of human resources to the strategic plan is a complex system which suits the use of focus groups for data collection.

The sample size was small with numbers ranging between four and eight participants for each of three focus groups, with interviews held at different times. The sampling used was non-probability sampling in that the researcher carefully selected the participants considering their employment position and educational level above matric. The aim was to maximize participation and to generate in-depth discussion on each of the topics covered. With regard to level of education, the researcher wanted to involve participants that could comfortably contribute to a discussion conducted in English. The sample was homogeneous in that group participants for each group were from the same hierarchal level. An informer was used to group the participants according to hierarchal levels.

McLafferty (2004:189) holds the view that homogeneous groups facilitate active participation from all the group members and influence interaction positively. It was also heterogeneous in that the participants were not from the same departmental section and were not of the same gender and age. Participants were not strangers to each other, and that eliminated chances for falsified statements, which contributed to reliable data. The interviews were held in an informal setting as semi-structured group interaction (McLafferty, 2004:187). The researcher wanted to get participants' experiences, meaning, understanding, attitudes, opinions and knowledge about the topic studied.

#### **g) Face-to-face interviews**

To address the challenges cited in literature as disadvantages of focus-group interviews, the researcher also used face-to-face interviews. Among the challenges to be addressed was the challenge of dominant-silent participation raised by McLafferty (2004:187). The interviews were conducted with employees who were not members of the focus group so as to ensure reliability and validity of data collected from focus-group interviews.

The researcher purposively selected the participants to respond to the questions posed. The researcher targeted five respondents but only managed to get three. Face-to-face interviews were conducted in the workplace with three purposively selected employees. Each interviewee made his/her own choice of the venue for the interviews.

#### **h) Questionnaires**

Questions for the questionnaire were generated from the statement of the problem and the objectives of study. The study made use of personal questionnaires. De Vos *et al.* (2002:173) describe personal questionnaires as questionnaires that are answered in the presence of the researcher so clarity may be given when the need arises. The types of question used were open-ended questions mixed with closed questions (see appendix A) because the researcher required facts and opinions of the participants on the issues raised. The questions were grouped according to the topics that were generated by the research objectives. Questions were also grouped in logical order, with questions that related to

the same subject dealt with together and one subject dealt with at a time before proceeding to questions on another matter/subject. The purpose of structuring the questionnaire into categories of questions was to contribute to the ease of answering and therefore increase the response rate. The second purpose was to make the data analysis of the responses easier.

### **i) Observation**

The researcher had interchanging observer roles. At times she was the participant observer and at other times she was a non-participant observer. This interchange was required by the nature of the study and the relationship between the researcher and the research site. The participant observation was enabled by the fact that the researcher is part of the institution studied. The researcher took advantage of the fact that she is a councillor to the institution studied. This enabled the researcher to observe the activities and process that related to the research question in a natural setting of occurrence without affecting the researcher site and research respondents. The researcher renegotiated access and the use of data for research when proceedings that related to the topic studied were known to the researcher. The researcher specifically focused the observation on the issue of the relationship between the strategic plan and the human resource plan. The researcher observed everything that she could hear, see and feel and had the participants' interpretation of what they could see, hear and feel.

### **3.2.1 Data Analysis**

Questions for interviews and questionnaire generated data that made analysis easier as questions were grouped to produce related data. Data from the questionnaire was analysed numerically and transformed into graphs. This was done by counting the number of responses per question and compared to the number of respondents. Data analysis from questionnaires included analysis of data generated from biographical information.

Data generated from interviews was transcribed, coded and categorised. Meanings of data were presented in descriptive words and narrative statements were used to provide answers to the research question.

### **3.3 LIMITATIONS OF THE STUDY**

Some of the participants for the questionnaire had work commitments which made it impossible to answer the questionnaires in the presence of the researcher during the agreed timeframe. Some selected participants ended up not participating at all. This may affect the validity of data from the questionnaires. To overcome this, data was triangulated with the use of other research instruments. The researcher alternated her observer role. At times she had to be a participant observer due to her relationship with the organization and sometimes a non-participant observer. This did not pose a threat to the ethical considerations of informed consent to the participants involved.

### **3.4 CONCLUSION**

The data collection methods used were chosen because of their relevance to the research question, their ease of application to the researcher and their applicability to the research site and the research participants. The structure and the focus of data collection techniques used in this study were specifically designed to address the research objectives of this study. The research instruments also suited the research design for this study, which was evaluation research design. The triangulated data from this investigation ensured that the data would be valid and reliable.

## **CHAPTER FOUR**

### **DATA ANALYSIS**

#### **4.1 INTRODUCTION**

This chapter focuses on the presentation and analysis of data collected during investigation of the problem by the researcher. The data collected using document study, questionnaire and interviews is presented under various themes that were generated from the research problem and the objectives of this study. These themes are presented in the sections that follow this introduction.

The use of multiple methods of data collection was aimed at triangulation of research data so that the data generated from this study would be valid. Data collection methods used were document analysis, interviews and questionnaires. Data from the investigation was also analysed against the South African government legislative prescripts whereas the same legislative prescripts were analysed as data for this study.

#### **4.2 QUALITATIVE DATA ANALYSIS**

##### **4.2.1 Strategic plan**

The researcher undertook an analysis of the legislative and policy documents that prescribed the strategic plan and human resource management in local government. The researcher believed that if a study was conducted to establish whether the programme had been properly implemented, the initial step in the data collection should be to identify a reliable measurement to use against which the findings could be measured. Emalahleni Local Municipality as a local government institution is legally obliged to comply with the legislative prescripts in the formulation and implementation of a strategic plan, human resource management and performance management, hence the findings were analysed against the local government legislation.

The following section discusses the legislation and policies that have relevance to the issue studied. The researcher wanted to identify the detail of legal prescription for human resource alignment with the strategic plan in local government, its implementation status at Emalahleni Local Municipality, challenges and gaps in implementation.

- **Legislative framework**

Local Government: Municipal Systems Act no 32 of 2000 section 25 states that “each municipality must adopt a single, inclusive and strategic plan for development which links, coordinates and aligns all plans, resources and capacity of the municipality for development of its community”. The Local Government: Municipal Planning and Performance Management Regulations, 2001 section 2 (1) states that “the detail of integrated development plan must at least identify the institutional framework, which must include an organogram, required for implementation of the integrated development plan and addressing the municipality’s internal transformation needs as informed by the strategies and programmes set out in the integrated development plan”.

This was an indication of the fact that comprehensive integrated planning had to include an organogram which stated the human resources required for implementation of the IDP which was the strategic plan of the municipality. To ensure alignment of human resources with the objectives of the organization the organogram had to be informed by the strategic objectives of the organization.

- **Implementation status**

According to the document study Emalahleni Local Municipality had a strategic plan that was adopted in May 2007. Its strategic plan was disintegrated, with each section exclusively presenting its own ‘departmental plan’. Measuring the implementation of the strategic plan was difficult because its key performance areas were broad and not measurable (see appendix C). In the strategic plan IDP was presented as a ‘project’ of the strategic plan with its key performance indicator as its ‘adoption and budget’.

The document study supported by interviews of respondents revealed that the strategic plan, which was a different plan from the IDP of Emalahleni Local Municipality, had not been reviewed since its adoption. It is a legal requirement that the IDP as the strategic plan must be reviewed annually in accordance with the assessment of the institution's performance measurement and as circumstances demand. The document study showed that Emalahleni Municipality IDP had been reviewed without assessment of the performance of the institution. The reviewal consisted merely of recollection of community needs without evaluation of performance on the IDP of the previous year.

The data gathered from interview participants with the exception of one participant revealed that at Emalahleni Local Municipality, the strategic plan and integrated development plan (IDP) were treated as two distinctive unrelated plans. The strategic plan document and the IDP document had no relationship with each other. This was also evident when the participants' inputs made mention of some aspects of the IDP whereas they claimed that they did not know anything about the strategic plan. The participant who claimed the link between the strategic plan and IDP stated that the strategic plan of Emalahleni Local Municipality 'is an outline of how each department will implement IDP'. If this was the view of the majority of the participants it would mean that the institution studied viewed the strategic plan as a means which presented details of the contribution each department would make towards the attainment of the municipality's vision for period 2007-2011. Given the contrary view from the majority of participants (all focus-group participants, confirmed by face-to-face interviews) the conclusion was that the legal status given to the IDP by Local Government: Municipal Systems Act 32 of 2000, that IDP was the principal strategic planning instrument of the municipality, did not apply at Emalahleni Local Municipality because with the current practice IDP was regarded as different from the strategic plan, not as one plan.

Other gaps identified from interview responses of participants were that the development and implementation of the strategic plan were not communicated to employees who were not managers of the organization. The evidence was that most employees from middle level to lowest level claimed to be performing duties not related to the strategic plan and

were not aware of its contents. Participation by all employees in strategy formulation would have built a sense of ownership.

- **Analysis of core components**

#### Vision

It is a legislative requirement that the strategic plan should have a vision for the long-term development of the Municipality. The study focused on the emphasis on internal transformation needs with specific focus on human resource alignment with the strategic plan. However, an analysis of the Emalahleni Local Municipality vision enabled the researcher to identify strengths, gaps and challenges in the stated vision. The researcher's observation was that the stated vision was vague and broad (see appendix D). The challenge is that when the stated vision is broad it is difficult to measure success or failure and it is difficult to devise appropriate strategies for its achievement.

#### Strategic objectives

The researcher observed from the document study that the strategic plan of Emalahleni Local Municipality lacked basic elements of the strategy which could have led to alignment. The strategic objectives that were used to develop the departmental mandate were not stated. There was no section in the strategic plan of Emalahleni Local Municipality that had been indicated as strategic objectives. Each department had what was presented as the 'strategy statement' and 'departmental mandate'. In the strategy statement and the departmental mandate that the researcher read, it was observed that the departmental mandates were expressed as the strategic objectives.

In the IDP document, objectives that had expressions about human resources were found in the Finance, Governance and admin cluster (see appendix E). Neither the strategies nor objectives in the IDP had a statement about human resource alignment.

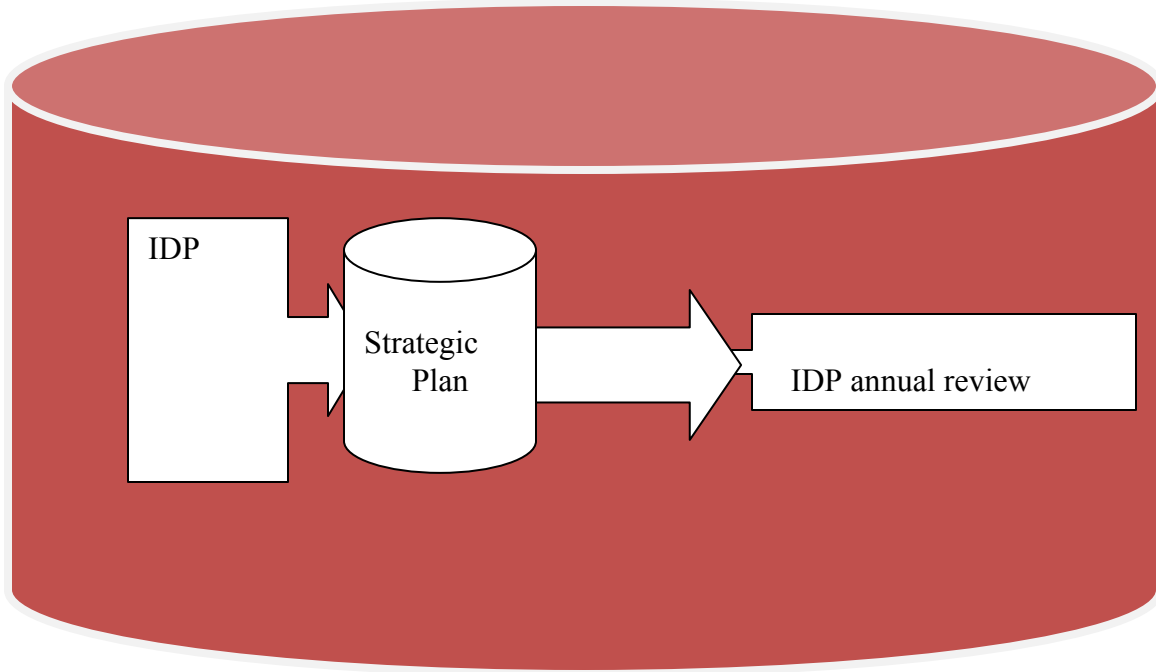
#### Key performance indicators and performance targets

Documentary review presents the key performance indicators with performance targets that relate to human resource management as exclusively expressed in the departmental

plan for the corporate services section of Emalahleni Municipality. The corporate services departmental plan has 'review organogram', 'training and development', 'performance management system', 'knowledge management' as its projects with key performance indicators that are broad and not measurable. That there is exclusivity on issues that relate to human resource management and development to other departments other than corporate services warrants a report about strategic planning.

Investigation made through interviews revealed that planning in the organization studied was in silos and without alignment. Knowledge about the strategic plan, its contents and presence was limited to employees occupying senior and middle-management positions because it was not known in lower levels of the hierarchy. Though there was lack of integrated planning, the document study showed that there was some interrelationship between the IDP of Emalahleni Local Municipality and the strategic plan as the executive summary of the strategic plan indicated that "the strategic plan will enhance the IDP of Emalahleni Local Municipality as it sets to deliver service delivery targets contained in the IDP into departmental roles and responsibilities", "will provide a framework during IDP annual review process". This is an indication of the fact that the strategic plan in Emalahleni Local Municipality is regarded as an implementation plan of the IDP. It is therefore regarded as a strategy for implementation of the IDP.

These views can be dramatically modelled as follows,



**Figure 1: Relationship between IDP and strategic plan at Emalahleni Local Municipality (analysis by the author)**

The diagram presented in Figure 1 is an indication of the opinions from the documents that the strategic plan of Emalahleni Local Municipality is a plan for implementing, not an IDP on its own.

IDP 2006/7-2011/12

As has been stated earlier, the Emalahleni Local Municipality IDP has a different status from the strategic plan and its content has no proper relationship with the strategic plan document. That compelled the researcher to analyse the core components of the IDP. The document study revealed that there were differences in the stated vision of the two documents. In its content the IDP had key performance areas but did not have the key performance indicators. The contents in the key performance area in the IDP did not have a relationship with the key performance indicators in the strategic plan.

Although there was disintegration and misalignment, there is the old saying that ‘every cloud has a silver lining’. The IDP of Emalahleni Local Municipality acknowledges the need for alignment and integration of sector programmes and plans, and alignment of roles and responsibilities of political structures, political office bearers, managers and other staff members with priorities and objectives set out in the municipality’s integrated development plan. It also has a statement which says, “This IDP will act as a guide to guide the municipality in all its planning, budgeting and decisions”. These are the statements of intention which have no action plan and are not implemented. The issue of integrated and aligned planning is that which this research tried to address with special focus on human resource planning.

#### **4.2.2 Human resource development**

- **Legal environment**

The document study on local government revealed the following:

Local Government: The Municipal Systems act no 32 of 2000 section 66 requires the municipal manager to approve the staff establishment of the municipality and provide job description, remuneration, conditions of service for each post and mechanisms to regularly evaluate and review staff establishments. Section 67 of the same act determines the human resource development practices of a municipality and requires that a municipality must develop and adopt appropriate systems and procedures to ensure fair, efficient and transparent personnel administration including recruitment, selection and appointment of persons as staff members, service conditions, supervision and management of staff, monitoring, measuring and evaluating of performance, promotion and demotion, transfer of staff, grievance procedures, disciplinary procedures, investigation of allegations of misconduct and complaints against staff, dismissal and retrenchment of staff.

The Human Resource Development strategy (HRDS) for Public Service 2002-2006 has as a strategic objective of Public service, that “by the end of 2006 the Public service competently delivers effective and equitable services to the people”. The key results to be achieved from the strategic plan amongst others as, “relevant competencies established

within Public Service”. This means that the aspect of the necessity for an integrated human resource management system is also emphasized in the human resource development strategy for Public Service. HRDS further champions that “training and education need to be systemically linked to the broader processes of human resource development”. An indicative action expected from all government departments is that all government departments are expected to, “prepare integrated workplace skills plans with transversal and functional priorities drawn from service delivery.” This further means that failure to comply with local government legislation on human resource alignment not only deviates from local government prescripts but it compromises the best practices prescribed for Public Service.

- **Implementation status**

The document study showed that Emalahleni Local Municipality IDP has a documented statement of commitment to ‘develop and use all its human resources to exceed the set targets’. This is an intention which has not yet found a plan. Data from interviews indicated that human resource development was practised without alignment with the needs of the organization. ‘Human resource development, management and support’ were presented as corporate services’ departmental mandate in the strategic plan but the human resource development plan was not part of the strategic plan. This meant that some of the strategic statements in the strategic plan had no link with the activities of the organization. Furthermore where there were links, they were not planned, i.e. a mention of ‘commitment to provide appropriate human resources’ in the corporate services department was an expression of needs justification for the provision of competent human resources.

Lack of technical and entrepreneurial skills was also cited in the documents but there was absolutely no plan to achieve any of the cited elements. The conclusion was arrived at that the existing plan was not a plan of action. This may be an indication of lack technical skills to produce an implementable plan and lack of management process to guide the process of planning. The next section will detail whether the Emalahleni workplace skills

plan has made any endeavour to address the challenge of lack of technical skills and entrepreneurial skills.

From the document study the researcher discovered that each department presented a list of skills required in the department without the plan to develop the required skills. An action for the supply of required skill lacked proper planning in that the workplace skills plan detailed the priority skills needs that were identified by the Department of Provincial and Local Government without inclusion of the skills needs that emanated for and from the implementation of the strategic plan. Some of the skills needs were similar for the different departments. Duplication of needs i.e. skills needs by more than one department made duplication of services inevitable.

It was evident from interview responses that the skills needs of the organization were determined by managers without contributions from the other employees including the employees who had received training in their areas of work. Participants claimed that they were 'not sure what was inside', and that they did not know about it, what its purpose was and the relationship it had with their training needs. This was a confirmation of the earlier conclusion that departments and managers heading departments worked in silos and that there was a lack of involvement of employees who were not managers. In an instance where 'training', 'capacity building' and 'mentoring' were mentioned in the departmental plan, there was no mention of the focus area in the organization in which the affected employees would be developed. This was an indication of the fact the managers of Emalahleni Local Municipality were not working to achieve integration and seemed not to complement each other for achievement of integration. The conclusion was arrived at that the workplace skills plan did not transpire from the gaps which emanated from the performance of employees and the needs of Emalahleni Local Municipality.

Interview responses revealed that there was no policy on recruitment, orientation of newly appointed staff, retention of employees or training of employees. There were activities that were taking place like the employment of new staff, benchmarking of employee salaries and training of employees. The respondents were of the opinion that

decisions in policy areas were determined by managers and service providers without consideration of the existing needs of employees. This was an indication that the organization studied uses a top-down approach on policy matters that have to do with human resource management.

The document study revealed that the employees of Emalahleni Local Municipality did not have written performance agreements, job descriptions or work plans. Another finding was that employment contracts did not detail the employees' job functions. This made it difficult to track the relationship between the strategic objective on which the employment of the employee was based, the post and duties of the employee, and the training needed by the employee. That meant that the relationship between the PMS and pay, promotion, performance, termination of service and disciplinary action, and human resource management and planning could not be traced. Compatibility between the organizational structure and the role of the organization was therefore minimal. The departmental organogram was presented without job functions. This may be due to lack of clear vision, mission and organizational objectives. It was an indication that Emalahleni Local Municipality had no input strategy which focused on human resource management.

The main policy gap was that human resource development strategy had not been conceptualized as there were no recorded plans to develop human resources. The contradiction discovered was that some activities for human resource development were taking place without the plan, and then the question was, what informed human resource activities if there were no strategic goals, strategic objective/s and human resource development plan. The issue needed further research as it was outside the limits of this study. The reality is that Emalahleni Local Municipality is a local government institution whose system must be to deliver to its constitutional mandate. The issue of "systems and relevant competencies" is regarded as among the basic conditions necessary for improving service delivery and government objectives (Public Service Human Resource Development Strategy [HRDS], 2002-2006:17). The Public Service HRDS indicates that the HRDS is backgrounded by the realities of Performance Management in the Public

Sector that many managers do not appreciate the link between human resource development and systems of performance appraisal and review that actually lead to performance improvement, accountability and increased productivity.

#### **4.2.3 Performance management**

- **Legal environment**

The document study on local government legislation was done on Local Government Municipal Systems Act no 32 of 2000, Local Government: Municipal Planning and Performance Management Regulations, 2001 and Local Government: Municipal Planning and Performance Management Regulations, 2006. Local Government Municipal Systems Act no 32 of 2000 prescribes that a municipality must establish a performance management system that is implementable within the resources and circumstances of the municipality. The same act prescribes that the performance management system must have measurable targets that are crafted based on the performance indicators stated in the IDP.

The Local Government: Municipal Planning and Performance Management Regulations, 2001 and The Local Government: Municipal Planning and Performance Management Regulations, 2006 prescribe that in the development of its performance management system a municipality must, amongst others, ensure that the system relates to the municipality's employee performance management process. The nature of the findings from this study did not only limit itself to the content of legislation but also included the findings from the investigation about the PMS practices of Emalahleni Local Municipality.

- **Implementation status**

There was a contradiction in data from IDP 2006/7-2011/12 and data from interviews. The data from IDP 2006/7-2011/12 states that the performance management systems 'exist and are being implemented as of May 2007' and in the same document it is stated that 'performance management framework document will be submitted to the Municipality Executive Committee for adoption'. This was in contradiction not only with

the document itself but with data that was generated from interviews which indicated that Emalahleni Local Municipality had no Performance Management System (PMS) in place. The second contradiction was with the legal prescripts, that adoption of performance management system was a non-delegated power of the municipal council. This meant, therefore, that to have a PMS that had been adopted by a structure other than a municipal council was an act in contravention of the law. It was concluded that Emalahleni Local Municipality had not yet implemented the performance management system (PMS). The next section has evidence supporting this conclusion.

No employee among the research respondents claimed to know anything about the presence of a performance management system. The document study revealed that the performance contracts for senior managers were signed without performance agreements. Included in the performance contracts was the balanced scorecard which had no relationship at all with the Emalahleni Local Municipality's strategic plan. The researcher came to the conclusion that the relationship between the performance management system and the strategic objectives was not possible as the strategic plan and IDP did not have statements that were categorised as objectives of Emalahleni Local Municipality.

One other area of concern was the differences between these two documents regarding departments responsible for implementation of plans. In IDP, departments were clustered whereas that was not the case with the strategic planning document. Emalahleni Local Municipality's employees had never been through a system of recognition of their contribution to performance of the municipality up to the date of the investigation undertaken for the purpose of this study. The records of the performance contracts of the managers showed that performance would be reviewed annually. The due date for the performance review was June 2008. This meant that despite the disparities in the conceptualisation of the strategic plan, the human resource plan and performance management system there was an additional weakness in human resource management, which was that performance reviews were long overdue.

In determining the presence of measurable standards that transpired from strategic objectives using data from the document study and interviews, the researcher discovered that there were no measurable performance standards against which to evaluate the performance of the employees. There were balanced scorecards for managers which indicated activities and dates and expected progress on the said dates without measurable standards. Existing balanced scorecards had not yet been exposed to performance evaluation. There was no relationship between the objectives of the organization, strategic plan, IDP and performance management system. In fact, when the organization did not have clearly stated objectives and a performance management system there was no way in which the performance standards could be measured.

The observation by the researcher was that the institution aimed only at legal compliance, that is that it wanted it to be on record that it implemented the PMS and the input. Process, output, and outcome were not yet a matter for consideration. The second observation was that the content of workshops on PMS used by service providers to provide capacity for the organization on PMS did not address the institutional transformation challenges. Any attempt to transform the practices of the organization without the institutional transformation would never produce the intended outcomes.

Data from interviews identified the fact that employees who were not managers ‘feel left out as junior employees’. These employees felt that with the inclusion of all employees they would have an opportunity to contribute to the formulation and implementation of PMS at Emalahleni Local Municipality. The knowledge gaps were as a result of lack of participation in the conceptualisation and implementation of PMS at Emalahleni Local Municipality. The impact of the status quo on PMS had a far-reaching negative influence on human resource development, for example, no employee claimed to have a personal growth plan and the organization did not have a human resource development plan.

The above findings meant that the capacity-building processes were not informed by the formal process of job review and there was no justification in terms of whether the training and education offered to employees addressed the gaps in the employees’

performance of their duties. Furthermore, the absence of a Performance Management System was an indication of disintegrated planning and lack of accountability. This may further be interpreted as lack of human resource capacity to make these legal requirements a success. The researcher was of the opinion that there was a lack of relationship among the project name, key performance area and key performance indicator in the IDP and the strategic plan made performance planning, monitoring and evaluation difficult.

#### **4.2.4 Swot analysis**

Data from interviews presented a swot analysis from interview respondents.

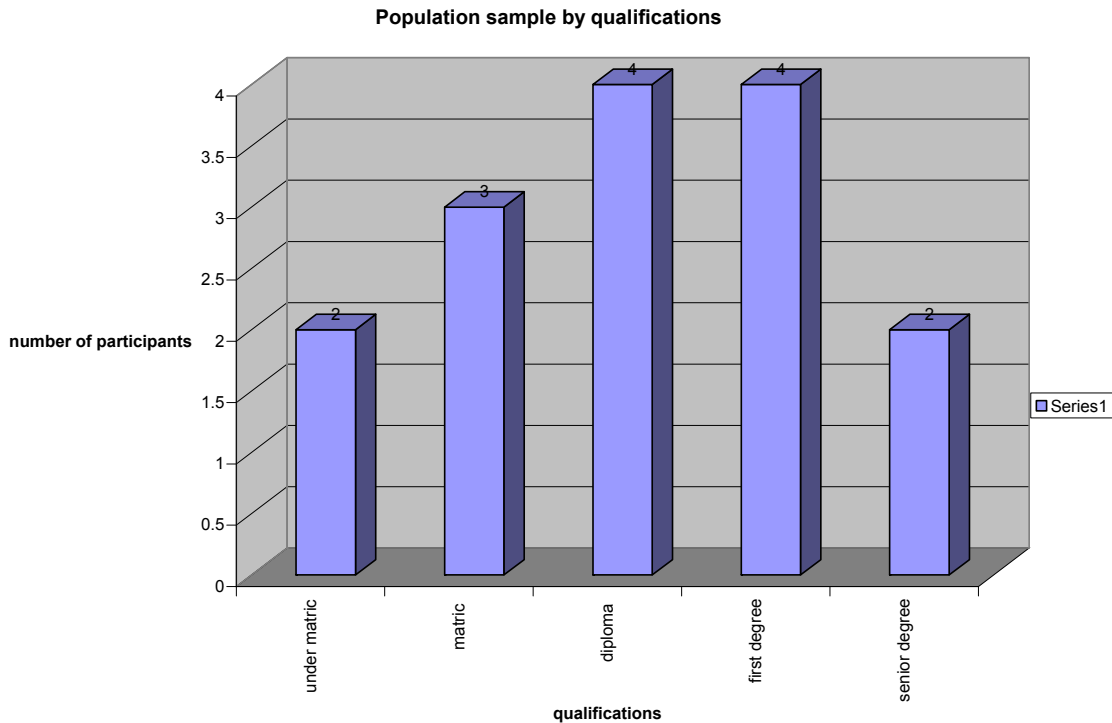
The strength is that all the employees who participated in the research showed an interest in participating in the formulation, implementation of review strategy, human resource development strategy, and the performance management system.

The weakness identified was the imposition of policy issues and non-involvement of junior employees. Amongst others was the lack of communication channels among senior and junior level employees.

The opportunities identified were that the strategies in place had not yet been reviewed, therefore if they were reviewed and with all employees involved, contributions could be made which could lead to improved performance. Inclusive involvement could also lead to a sense of ownership in all employees.

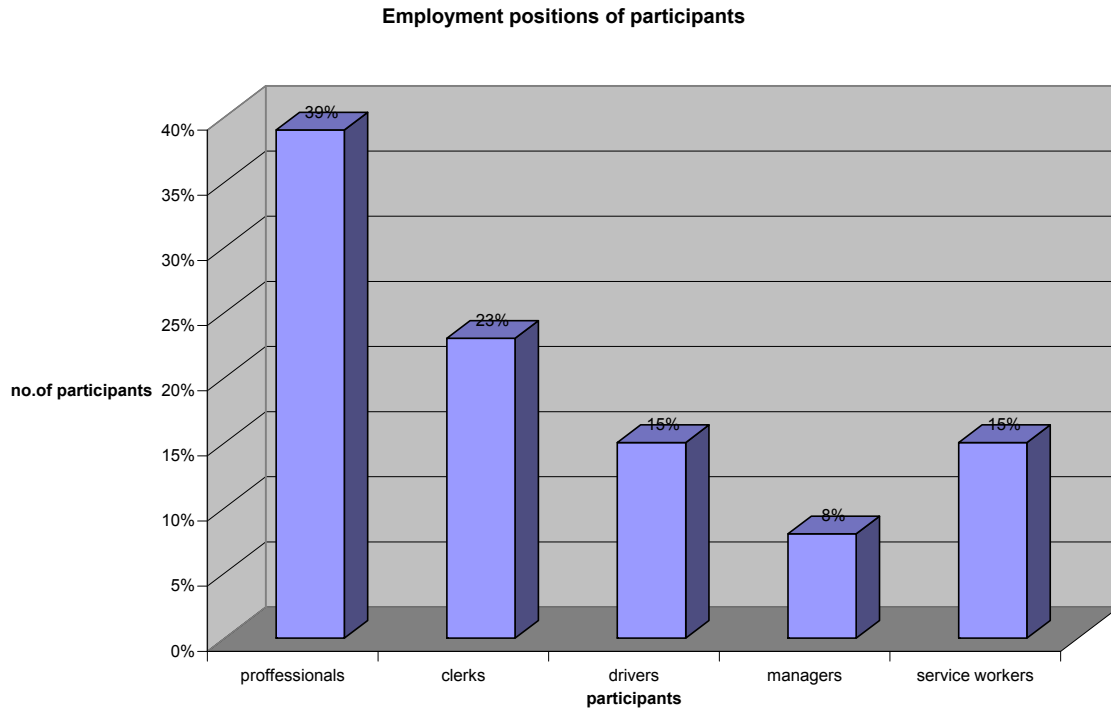
The major threat was the presence of a culture of exclusive involvement and that the employees did not know who to approach, how lead to change in management should the culture of exclusivity continue to prevail. The claim was that the lower level of employees was not free to express their views on issues where they felt it would be necessary.

### 4.3 QUANTITATIVE DATA ANALYSIS



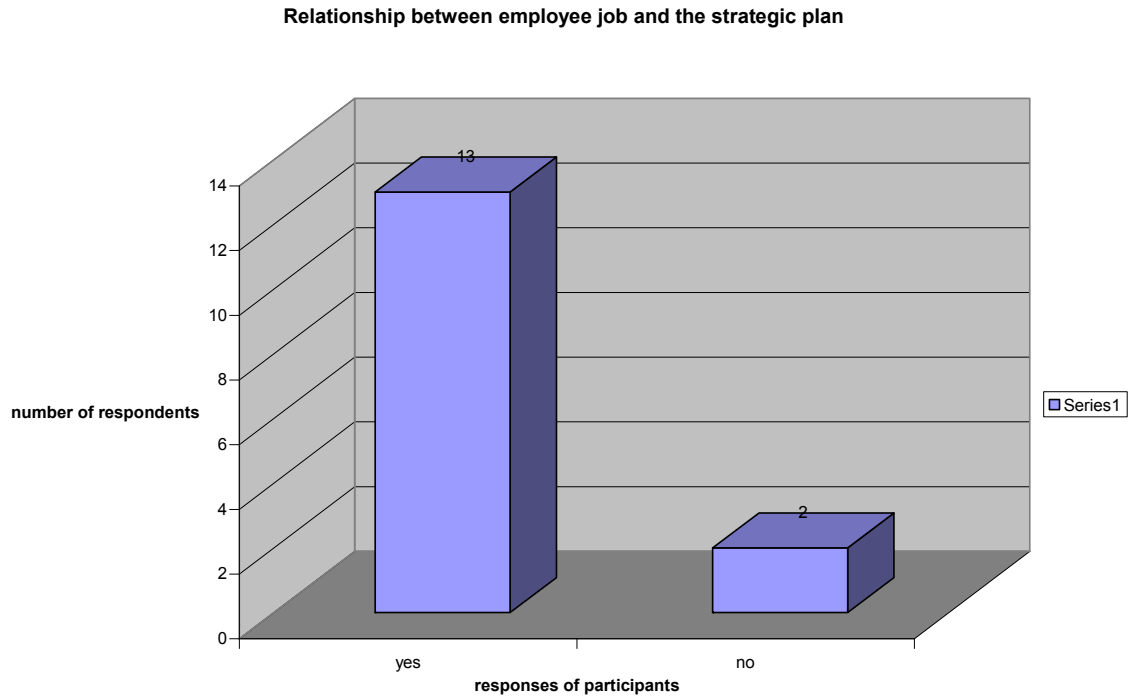
**Figure 2: Population sample by qualifications.**

Figure 2 shows that 80.7% (total number of participants with a qualification above matric) of the participants were educated and had academic qualifications above matric. The educated participants were those performing professional and administrative duties (refer to Figure 3). This meant they had qualification levels relevant to their employment position. That did not mean that the type of qualification was relevant to their jobs as that would require another investigation. The 13,3% who had the highest qualification below matric were performing duties which did not require an academic qualification i.e. drivers. As was mentioned earlier, most participants were from the finance section which is a section which had proved to be employing competent staff with qualifications relevant to their duties. This was also a section which had most recruits in the period studied. To have a population of educated employees was a strength which Emalahleni Local Municipality could build upon by involving junior level employees in strategy making.



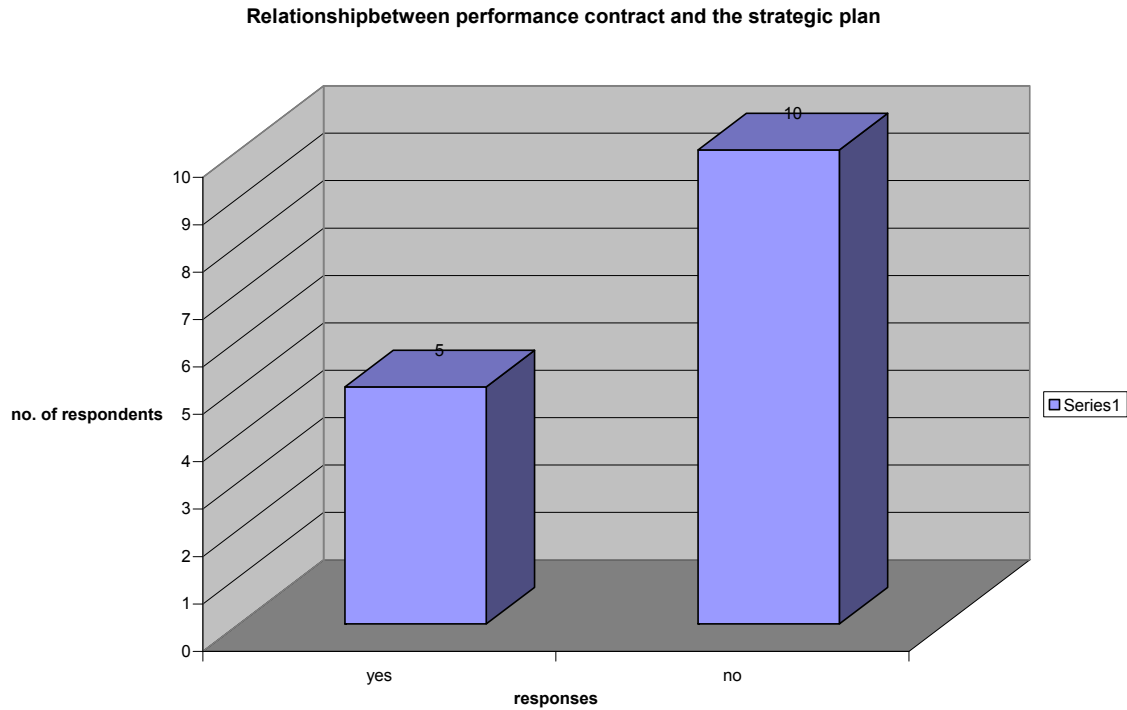
**Figure 3: Employment positions of participants**

Most participants were professional service workers (39%) (refer to Figure 3). What the researcher could establish was that despite the heterogeneity of participants, on the questions that related to performance management and human resource development the findings agreed with the other research instruments, i.e. that they did not exist.



**Figure 4: Relationship between employee’s job and strategic plan**

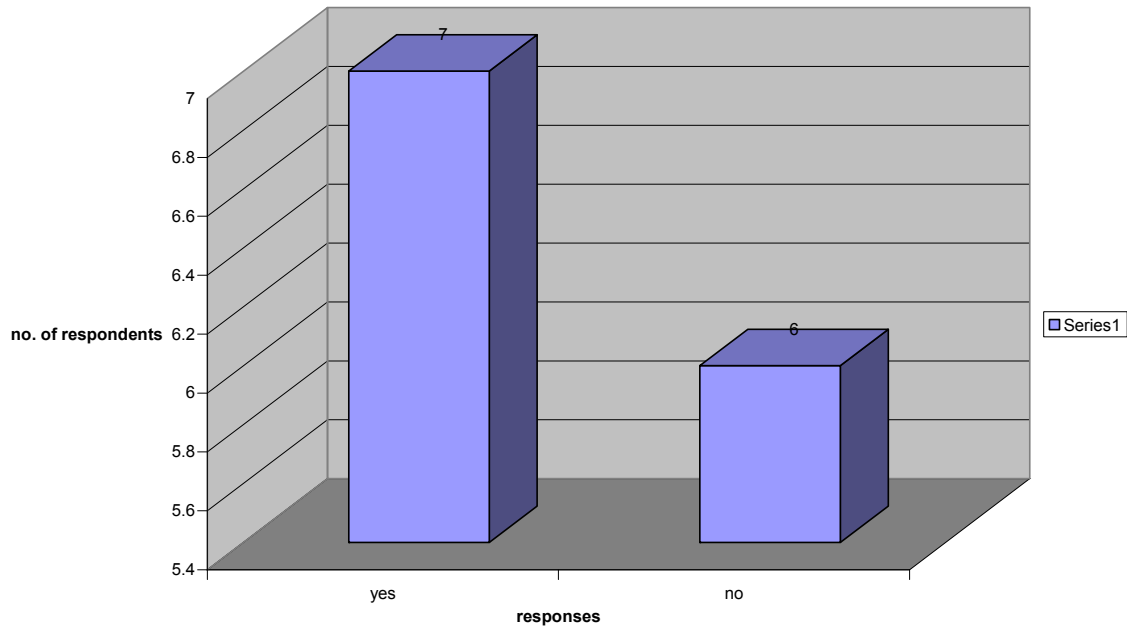
With regard to the question on the relationship between the job of the employee and the strategic plan, 86,7% of the participants indicated that there was a relationship whereas 13,3% stated that there was no relationship (refer to figure 4). The responses to this question were analysed with the explanation given for the response and related to other responses on other parts of the questionnaire. The explanation given for ‘yes’ showed that the ‘yes’ response was given based on opinions and not facts.



**Figure 5: Relationship between performance contract and the strategic plan**

The responses to the question on the relationship between the performance contract and the strategic plan are shown in Figure 5. About 66,7% of the participants indicated that there was no relationship between the performance contract and the strategic plan, whereas 33,3% of the participants responded by saying that there was a relationship. This showed some contradiction with Figure 4 but was an affirmation of data from the document study that performance contracts did not detail the job functions.

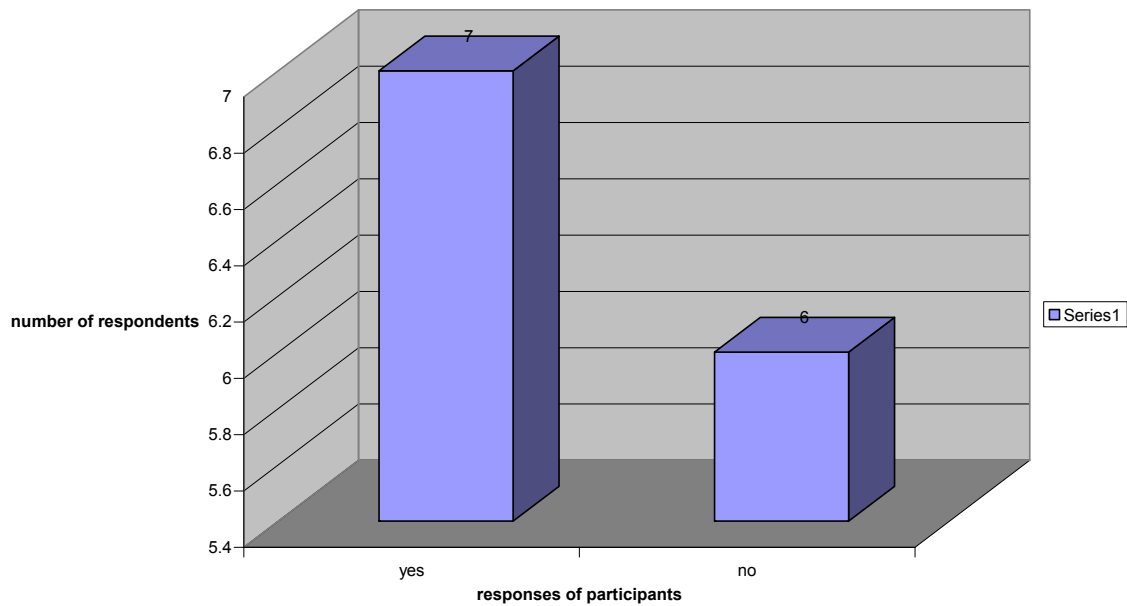
**Relationship between the capacity building programmes and the strategic plan**



**Figure 6: Relationship between the capacity-building programmes and the strategic plan**

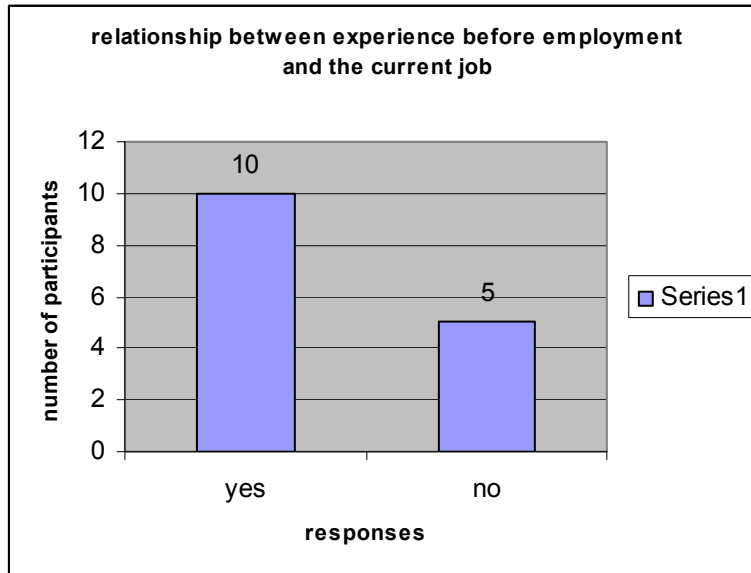
The responses to whether there was a relationship between the capacity-building programmes and the strategic plan showed that 53,8% (refer to Figure 6) of the participants were of the view that there was a relationship. The explanation from open-ended questions showed that these were the participants who had been exposed to capacity-building programmes after being employed. Therefore 46.2% had not been exposed to capacity-building programmes. This meant that the capacity-building programmes designed by managers were relevant to the job performance of the employees. The findings were validated by responses to the question whether there was a relationship between capacity-building programmes and the employees' jobs which produced the same results (refer to Figure 7).

**Relationship between employee job and the capacity building programmes**



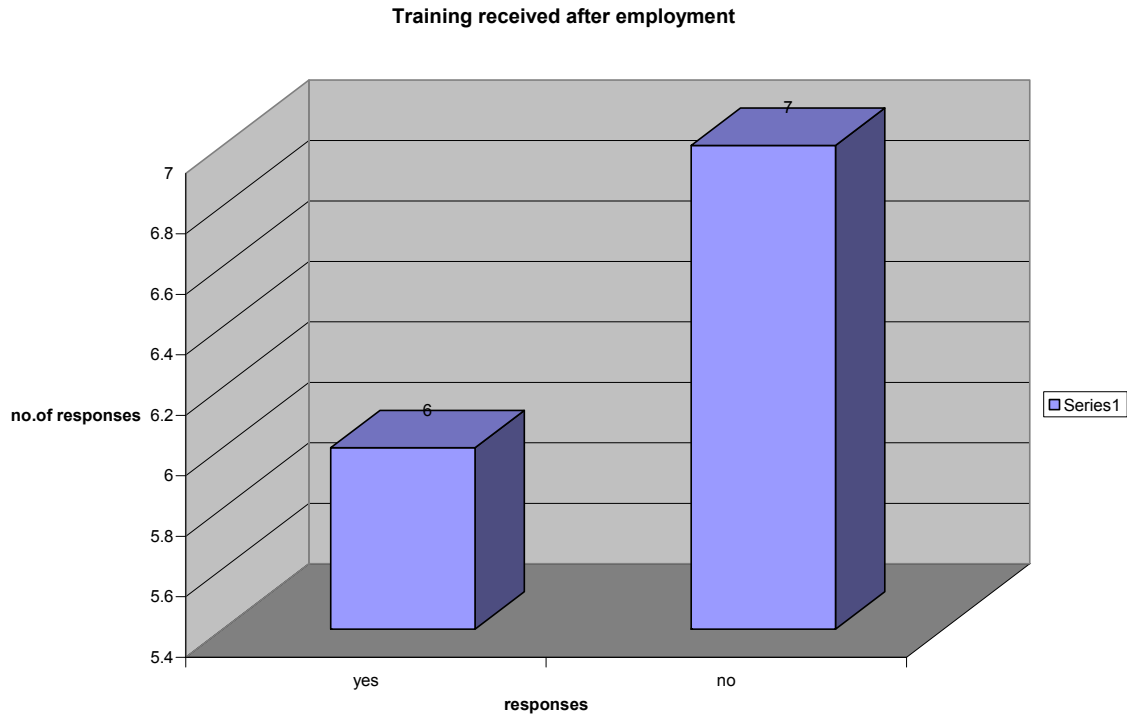
**Figure 7: Relationship between employee job and the capacity-building programme**

With regard to the question of the relationship between the courses presented before employment to the current position 66.7% stated that there was a relationship whereas 33,3% indicated that there was no relationship (see Figure 7). The high percentage of responses supporting the relationship could be due to the fact that many respondents were from the finance department which seemed to employ people based on qualifications directly related to the job to be performed.



**Figure 8: Relationship between employee job and the capacity-building programme**

Questionnaire responses to the question of whether participants had experience gained before employment in the current position presented 66,7% of the participants as having experience gained as opposed to 33,3 % without experience gained before being employed in their current position (refer to Figure 8).



**Figure 9: Indication of training received after employment**

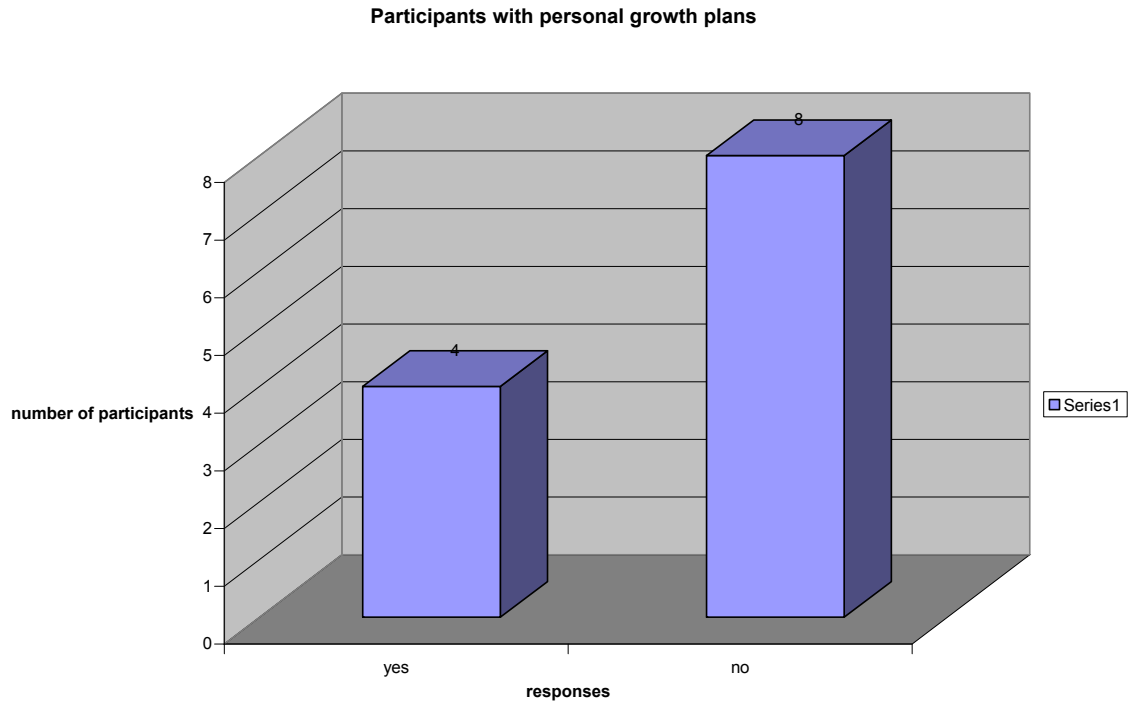
When research participants were asked whether they had received training after being employed, 46,2% of the respondents indicated that they had received training after employment and 53,8% indicated that they had not received training (refer to Figure 9). The data generated from this question was in contradiction to data presented in Figure 6 and 7 which showed that the majority of the participants had experienced training which was related to their job. This indicated a lack of understanding that training was part of the capacity-building programme.



**Figure 10: Utilisation of skills gained from training in the work environment**

On the question of the utilisation of skills gained from training, findings are presented in Figure 10 with 58,3% stating that the skills gained from training were utilised in the work environment, whereas 41,7% of the respondents indicated that the skills were not used. The explanation given for lack of use was that those participants had not yet been trained.

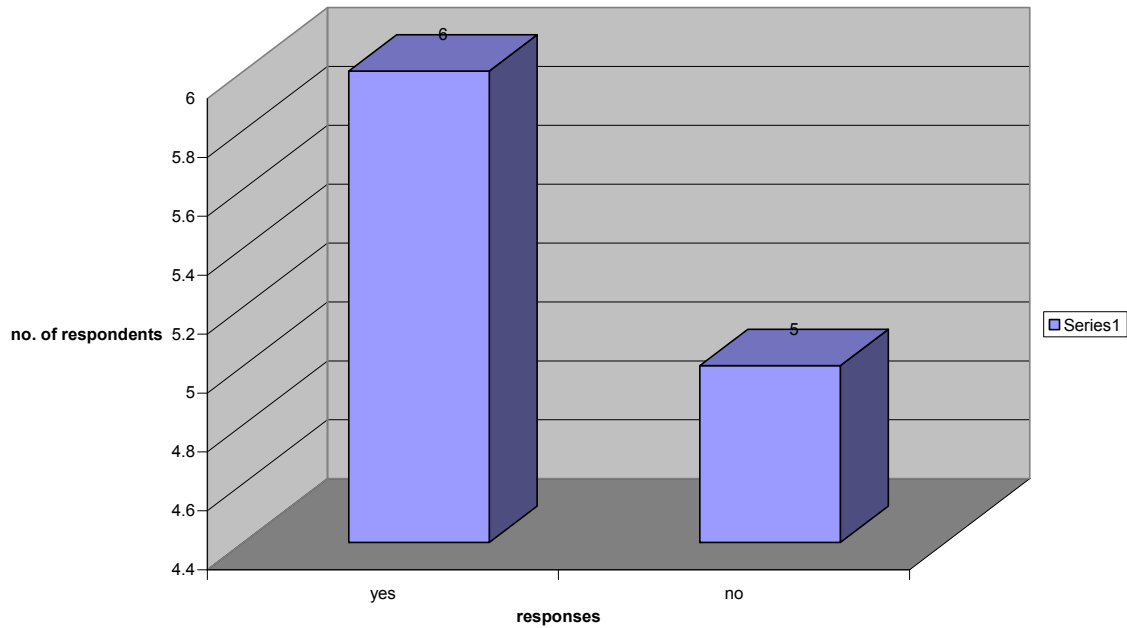
The question on whether participants could interpret a performance report, 100% of the participants responded with 'no'. The explanation response from open-ended questions indicated that the participants had not yet been assessed. This supported the findings from the interviews. To all the questions that asked about performance measurement, 100% of the participants responded by saying that there was no performance measurement.



**Figure 11: Indication of participants with personal growth plans**

The response to whether the participants had personal growth plans is depicted in Figure 11. There were 33,3% of the participants who responded by stating that they had personal growth plans, whereas 66,7% indicated that they did not have personal growth plans. The large percentage of participants without personal development plans was an indication of the impact of lack of a performance management system at Emalahleni Local Municipality.

**Contribution of employee performance to the achievement of the strategic objectives**



**Figure 12: Contribution of employee performance to the achievement of the strategic objectives**

Participants' responses to the question of whether the participants' performances had contributed to the achievement of the strategic plan were depicted in Figure 12 with 45,5% stating that they had not contributed to the achievement of the strategic objectives and 54,5% stating that they had contributed to the achievement of the strategic plan. Responses to open-ended questions requesting explanations for responses shown in figure 12 were different. Those who responded with 'no' claimed that they did not know the strategic plan. Those who responded with 'yes' stated that they thought they were employed to achieve the strategic objectives.

#### **4.4 CONCLUSION**

Despite the challenges presented in the study, data generated from the study also showed that Emalahleni Local Municipality had the potential to improve as it had documented its

acknowledgement that coordinated management reporting and performance monitoring via SDBIP and scorecards could lead to improved performance.

## CHAPTER FIVE

### CONCLUSIONS AND RECOMMENDATIONS

Human resource alignment with the strategic plan in municipalities is a problem which has received minimal attention in the academic field. It has complex political policy factors which are not open to detailed debate and are not included in this study. The focus of this study has been on human resource alignment with the strategic plan, which involves conceptualisation and implementation of the strategic plan, human resource development and performance management.

The study examined whether there was an alignment between the human resource plan and human resource practices with the strategic plan of Emalahleni Local Municipality. Another issue raised in the study was whether the existing human resource practices could lead to improved performance and quality of services delivered by the organization. Lastly the study wanted to determine specifically whether the workplace skills plan was addressing the existing skills gaps as identified in the performance of the duties and assessment of performance by employees.

The study explored the nature and the extent of the alignment of human resources with the strategic plan vis-à-vis the rule of law with regard to local government. The rule of law was further analyzed as data to further establish gaps which might open up holes in some of the human and strategic planning practices. Recommendations were then drawn up, based on the expectations of the rule of law with regard to the matter studied and recommendations were made for gaps identified in the same rule of law applicable to integrative and inclusive planning. The research method and data collection methods used were intended to address the challenges identified at Emalahleni Local Municipality and confirm the findings identified by previous researchers on the subject studied.

The first chapter of this study presented the introduction of the study. The introduction to the study presented the background of the study, research objectives for this study, significance of the study, literature review, the research design and methodologies and ethical considerations for the study and its delimitations.

The second chapter dealt with the literature review. This chapter presented the literature produced by academics on the topic of the study. The literature review section presented the different theories guiding the strategic plan and human resource management including performance management. It was argued that some authors viewed strategic plans as emergent whereas others viewed them as rigid plans.

The literature review suggested that for the strategic plan to accommodate challenges that emerged after it had been adopted it had to be emergent, and therefore reviewal was a measurement of the success of strategies. The authors held the view that for the human resource plan to be aligned with the strategic plan a human resource manager had to form part of the strategic planning and that planning must not be top down, but had rather to be bottom up. Other authors were of the view that all sections and all employees had to be involved in strategy planning and that the organization had to match a group of employees to the organization rather than to match the individual employee.

Chapter three detailed the research design and research methodology used to generate reliable findings from data obtained from the engagement of participants and documents. The combination of the qualitative and quantitative research approach was informed by the nature of the research, evaluative research design and the research objectives. In the methodology section the researcher presented the weaknesses and strengths of evaluation research design. One of the weaknesses was that the researcher fulfilled an interchangeable role from participant observer to non-participant observer and vice versa. This was a weakness that had the advantage of verifying the findings. A variety of research instruments, document study, interviews and questionnaires were used in the study and generated data that could lead to reliable and valid findings. Another issue raised in the study was the challenge of evaluating a programme which was not planned

for evaluation. The purpose of the evaluation research was to measure a programme, its success and implementation. The research design and methodologies used in this study were relevant to the problem investigated. The research investigated the design and implementation of the programme, human resource alignment with the strategic plan using document study, questionnaires and interviews, as data-collecting instruments to generate the required data.

Chapter four presented an analysis of data collected and findings were presented. Data was analysed using the two approaches, and was used in the study to generate the findings which were valid and reliable. Analysis was deepened by analysing data against questions asked. That made it easy for the researcher to categorise information into themes. A discussion of findings was done and the meaning it produced from the research questions was discussed. The main patterns of data collected reflected lack of alignment, disintegrated planning and lack of proper planning that could be measured.

Based on the critical issues raised by findings from data collected about human resource alignment with the strategic plan, the following recommendations were made with the first part of the recommendation directed to Emalahleni and the other recommendations to the Department of Local Government:

- a. Emalahleni Local Municipality strategic plan has to be reformulated to develop one strategic plan. It is integrated planning of the Emalahleni Local Municipality. Emalahleni Local Municipality has to strive for one strategic document which is the IDP that includes a comprehensive human resource plan. When the managers are drafting the strategic plan employees who are not managers must be consulted through involvement in inputs from departmental level planning up to integration of plans at strategic planning sessions. The IDP reviewal stage must be considerate of challenges that emerge after the five-year strategic document has been adopted. The IDP review process for the financial year 2008/2009 has to address inclusive integrated planning. Each department has to give an input on all the strategic objectives. Human resource strategy has to be designed to lead to an

expression of competencies required for achievement of each of the strategic objectives.

- b. During the strategy review Emalahleni Local Municipality has to redevelop its strategic objectives from local and national priorities for service delivery to ensure that they are specific, measurable, achievable, realistic and time-bound. These objectives must be used to generate measurable performance standards for evaluating the performance of employees and the organization. A key performance indicator for each objective has to be developed. The objectives of the strategic plan must determine the human resource needs of the organization. This is an area which managers of various departments could lead by identifying employee activities needed and overlapping roles that the strategic objectives might lead to and make proposals for an organization structure with full contribution and motivations by employees already in the system. That can make the human resource plan of Emalahleni Local Municipality an issue for organization and not a concern of the human resource section exclusively. That can also lead to matching a pool of people to an organization as against matching an individual to a business that is structured to fail. From this step the next step has to be planning for human resource development. In this way human resource development will be informed by the gaps identified in employee abilities in making the objectives of the strategic plan achievable.
- c. The performance management system must be planned concurrently with strategy planning and be developed to ensure that the organization continually measures contribution towards achievement of the strategic objectives. The conceptualisation including the choice of the measurement tool must involve employees at all levels. A regulated information management system has to be developed and introduced by the Department of Local Government (DPLG) to electronically monitor the implementation of the performance management system in local municipalities. Based on reports automatically and electronically deployed to the DPLG, the DPLG must provide support based on the identified

areas of need in the reporting organization. This could improve audit report queries on lack of policy implementation. Implementation of performance management has to form part of the performance agreement for managers and has to be measured in the first phase of the review of performance of managers.

- d. The workplace skills plan must include the skills needs of employees performing duties with knowledge and skills gaps other than those identified by the Department of Local Government. Emalahleni Local Municipality must strive to have responsive workplace skills planning. To achieve that the performance measurement has to be properly implemented and employees' personal development plans must be taken into consideration during workplace skills planning.
- e. Compliance with legal requirements, which is a critical matter at Emalahleni Local Municipality, needs the introduction of monitoring and a national administration which should detail the nature and the level of deviance from the law and equivalent charge for the offence. This should be directed at municipal managers.

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## **APPENDIX A – RESEARCH QUESTIONNAIRE**

### **HUMAN RESOURCE ALIGNMENT WITH STRATEGIC PLAN QUESTIONNAIRE**

#### Overview

Emalahleni Local Municipality strategic plan (2006/7-2010/11) was developed to give both the Council and the public an overview of what the municipality wants to achieve in the term intended for. The strategic plan was developed in 2006 and was adopted by the council in 2007. A number of human resource practices have taken place after its adoption. Amongst others are employment, workshops and trainings, upgrading of employee qualifications, performance planning and reporting.

#### Purpose

The purpose of the attached questionnaire is to assess the relationship between the job, the objectives of the strategic plan of Emalahleni Municipality and factors affecting performance of the municipal employees.

#### Respondents

This questionnaire is to be completed by all employees of the Emalahleni Local Municipality who have been employed after 2005.

#### Ethical considerations

Please note that the information gathered during research will be handled in a responsible manner within the confines of research ethics.

Do not sign or write your name on the questionnaire. Your name will not be mentioned when discussing the result of the research.

#### Process

The researcher will administer the questionnaire through direct engagement with the respondents. Respondents will answer the questionnaire in the presence of the researcher.

#### Communication

The researcher will engage the respondents in English. Xhosa will be used only in instances when the respondent does not understand English but all responses will be recorded in English.

#### Disclaimer

This questionnaire has been prepared for a research project undertaken to fulfill the requirements of a Masters Degree in Public Administration at the University of Fort Hare.

## **INSTRUCTIONS**

- Use a pen and circle the corresponding number of the answer you have chosen, or
- Tick (✓) the appropriate blocks as instructed.
- Please write the answers in full if the questionnaire requires you to do so.
- Please answer all the questions.
- All questions relate to your job.

YOUR PARTICIPATION IS HIGHLY APPRECIATED

### **SECTION A: PERSONAL PROFILE**

1. Sex (*circle as appropriate*)

1. Male	2. Female
---------	-----------

2. Highest Academic Qualification (*circle as appropriate*)

1. Matric	2. First Degree/ 3 Diploma
3. Senior Degree/ Higher Diploma	4. Masters
5. Doctorate	

### **SECTION B: WORK PARTICULARS**

1. Name of Department (*circle as appropriate*)

1. Finance	2. Governance and Administration
3. Technical Services	4. Integrated Planning and Economic Development
5. Municipal manager	6. Strategic manager

2. Position of employment

1. Manager	2. Professional
3. Clerk	4. Service Worker
5. Elementary Service Worker	6. Craft and Related Worker

3. How long have you been appointed to your current position of employment at Emalahleni Local Municipality? *(circle as appropriate)*

1. 0 – 1 year	2. 1 – 2 years
3. 2 – 3 years	4. 3 – 4 years

4. How many years have you been working at Emalahleni Local Municipality? *(Circle as appropriate)*

1. 0 to 1 year	2. 1 to 2 years
3. 2 to 3 years	4. 3 to 4 years
5. above 4 years	

5. Occupational Category of your Immediate Supervisor *(Circle as appropriate)*

1. Municipal Manager	2. Professional
3. Clerk	4. Service Worker
5. Elementary Service Worker	6. Craft & Related Worker
7. Manager	8. Mayor

**SECTION C:**

**1. STRATEGIC PLAN AND EMPLOYMENT**

1.1 Is there a relationship between your job and the strategic plan of Emalahleni Local Municipality?

Yes	
No	

1.1.2 If yes. How does your job relate to the strategic plan of Emalahleni Local Municipality (ELM)?

Explain.


1.2 Is there a relationship between your performance contract and the strategic plan of Emalahleni Local Municipality?

Yes	
No	

1.2.1 How does your performance contract/job description relate to the strategic plan of Emalahleni?

Explain.






Explain.


2.3.2 In your view how ELM human resource development strategy (HRD) relate to the ELM skills needs?

Explain.

**3. OPTIMAL UTILISATION OF SKILLS (FACTS AND OPINIONS)**

3.1 Are the courses you had before you were employed in the current position related to your employment position?

Yes	
No	

3.1.1 If yes. How do the courses you had before your employment to the current position relate to your employment position?

Explain.

3.2 Do you have experience that you gained before your employment to the current employment position that you feel has relation to your current employment position?

Yes	
No	

3.2.1 If yes. How do the experiences you gained before your employment to the current position relate to your employment position?

Explain.





Explain.


4.2 Was your performance ever measured?

Yes	
No	

4.2.1 If yes. What has previous performance measurement outcome reflected about your performance?

Explain.



4.2.2 Do you have a personal development plan?

Yes	
No	

4.2.3 If yes. How does your personal development plan relate to your previous performance results?

Explain.





4.4 What alternatives can you recommend to the existing performance measurement method at ELM?

Explain.


5. Generally comment on the alignment of Human resource to the strategic plan of the municipality.


## **APPENDIX B - INTERVIEW SCHEDULE**

### **INTERVIEW SCHEDULE**

#### **HUMAN RESOURCE ALIGNMENT WITH STRATEGIC PLAN**

##### Overview

Emalahleni Local Municipality strategic plan (2006/7-2010/11) was developed to give both the Council and the public an overview of what the municipality wants to achieve in the term intended for. The strategic plan was developed in 2006 and was adopted by the council in 2007. A number of human resource practices have taken place after since its adoption. Amongst others are employment, workshops and trainings, upgrading of employee qualifications, performance planning and reporting.

##### Purpose

The purpose of the interview is to assess the relationship between the job, the objectives of the strategic plan of Emalahleni Municipality and factors affecting the performance of the municipal employees.

##### Ethical considerations

Please note that the information gathered during research will be handled in a responsible manner within the confines of research ethics.

The researcher will not write your name on the responses you give. Your name will not be mentioned when discussing the result of the research.

##### Process

The researcher will guide the discussion through direct engagement with the respondents. Respondents will answer as they wish but to maximize participation the researcher will request all to participate and at times directly ask contribution from participants.

##### Communication

The researcher will engage the respondents in English. Xhosa will be used only in instances when the respondent does not understand English but all responses will be recorded in English.

##### Disclaimer

This questionnaire has been prepared for a research project undertaken to fulfil the requirements of a Masters Degree in Public Administration at the University of Fort Hare.

### **INTERVIEW QUESTIONS**

1. How does the Emalahleni Local Municipality's strategic plan influence the following:
  - Human resource management practices?
  - Performance management system?
  - Workplace skills plan?

2. How has the Emalahleni Local Municipality organization's objectives informed
  - Strategy making?
  - The human resource planning?
  
3. How do the current strategic objectives of Emalahleni Local Municipality relate with regard to the integration of the human resource to the strategic plan in the following aspects:
  - Strategy formulation?
  - Strategy implementation?
  - How does the strategic plan respond to the challenges that emerge after its conceptualization and final adoption?
  - Which department is concerned with the human resourcing issues? What are the implications of that?
  
6. To what extent is the performance management system of Emalahleni Local Municipality influencing the following issues:
  - Pay?
  - Promotion?
  - Performance?
  - Termination?
  - Disciplinary action?
  
7. Which human resource practices that are currently implemented can contribute to the following:
  - Achievement of organizational goals?
  - Improved performance of the organization?
  
8. What are your comments regarding the performance management system of Emalahleni Local Municipality in terms of
  - Strengths?
  - Weaknesses?
  - Opportunities?
  - Threats?

**APPENDIX C- EXTRACT OF THE DEPARTMENTAL ACTION PLAN**

**ACTION PLAN**

<b>PROJECT NAME</b>	<b>DRIVER</b>	<b>SUPPORTED BY</b>	<b>TIMEFRAME</b>	<b>KPI'S</b>		<b>BUDGET</b>
Management meetings	Municipal Manager	Corporate Services Manager	Fortnightly	Managers presenting their activities & processes		MTEF
Year plans	M. Manager	Corporate Services Manager	November yearly	Managers presenting their activities & processes		MTEF
Service level agreement	Strategic Manager and	Municipal Manager	Establish partnerships with (Public/ Private) institutions & organizations for Growth & development of Municipality economy	Ensure that all partners sign service level agreements with the municipality	January 2008 (Yearly)	
Council meetings	M. Manager	Corporate Services Manager	Quarterly	Managers presenting their activities & processes		MTEF
EXCO meetings	M. Manager	Corporate Services Manager	Fortnightly	Managers presenting their activities & processes		MTEF
Standing Committee meetings	M. Manager	Corporate Services Manager	Monthly	Managers presenting their activities & processes		MTEF
Development of public participation framework	M. Manager	Strategic Manager	August 2007	Fully-fledged public participation framework & by-laws in place		R50 000
Annual report	M. Manager	Strategic Manager	January yearly	Annual report presented to Council		R200 000
IDP & Budget	M. Manager	CFO & IPED Manager	August – May yearly	Adopted IDP & Budget		MTEF
Drawing of Service Level Agreement	M. Manager	Strategic Manager	Beginning of each financial	Signed Service Level Agreements with all stakeholders		R50 000

<b>PROJECT NAME</b>	<b>DRIVER</b>	<b>SUPPORTED BY</b>	<b>TIMEFRAME</b>	<b>KPI'S</b>	<b>BUDGET</b>
			year		
Monitoring submission of financial returns	M. Manager	CFO	Quarterly and monthly	Submitted financial returns	MTEF
Monitoring of implementation of Council resolution	M. Manager	Corporate Services Manager	Daily	Implemented Council resolutions	MTEF
Development of corporate identity	M. Manager	Strategic Manager	June 2007	Fully fledged corporate identity	MTEF
Development and maintenance of partnerships	Municipal Manager	Strategic Manager	Yearly	Exchange of skills and financial support	MTEF
Participate in organized Local Government structures	Municipal Manager	All Heads of Department (HOD's) EXCO	Yearly	Be a member of SALGA	MTEF
Development of ELM'S / archiving of LM	Municipal Manager	Community, IPED & Strategic Manager	Quarterly	Have a document of Emalahleni Local Municipality's history	MTEF
Monitoring and evaluation of budget and IDP implementation	Municipal Manager	All HOD's	Monthly, Quarterly	Meet targets in the SDBIP	MTEF
Engagement with various depts. in order to source funding for service delivery	Municipal Manager	All HOD's	Quarterly	Formulation of Intergovernmental Relation Forum	MTEF
Monitoring & Evaluation	Municipal Manager	All HOD's	Yearly	Reports submitted to Council	MTEF
Internal Audit Committee	Municipal Manager	CFO	Quarterly	Receive an clean report from the AG	MTEF

## **APPENDIX D – EMALAHLENI LOCAL MUNICIPALITY VISION**

### **VISION**

**“Working for a future in which the Emalahleni Municipality delivers appropriate, sustainable and affordable services towards socio-economic growth and development for the emancipation of its Community.”**

### **MISSION**

**“A commitment of resources to co-ordinate and support programmes through effective partnerships and active community participation.”**

**APPENDIX E – OBJECTIVES AND STRATEGIES OF THE FINANCE,  
GOVERNANCE & ADMINISTRATION CLUSTER (EMALAHLENI LOCAL  
MUNICIPALITY IDP 2006/7- 2011/12) OBJECTIVES, STRATEGIES &  
PROJECTS**

Finance, Governance & Admin Cluster – Objectives and Strategies

<b>KPA</b>	<b>OBJ NO.</b>	<b>OBJECTIVE</b>	<b>STRATEGY</b>	<b>STRATEGY CODE</b>
Functional Administration/ Oversight	01	To ensure functional administration and management oversight	Implement agreed organogram	FG&A 01
			Coordinate management reporting and performance monitoring via SDBIPs and Scorecards	FG&A 02
			Ensure suitable office space is in place for municipal employees and council	FG&A 03
Intergovernmental Relations	02	To establish and maintain effective intergovernmental relations	Participate in and ensure effectiveness of the local intergovernmental forum	FG&A 04
			Establish partnerships with strategic institutions and organizations (private and public) for effective growth and development of the municipality's economy	FG&A 05

Good Governance	03	To maintain reputation of the organization and ensure good governance practice	Produce municipal code of good governance procedure and workshop all staff and councillors	FG&A 06
			Deal decisively with members of the organization who are breaching code of good governance procedure	FG&A 07
Policies & By-laws	04	To develop local Policies & by-laws and implement them	Identify critical areas needing by-laws and commission their development and implementation	FG&A 08
			Develop by-laws and train officers to undertake enforcement responsibilities	FG&A 09
Public Participation	05	To promote and ensure effective public participation in municipal processes of planning and implementation	Support Community Development Workers (CDWs)	FG&A 10
			Train ward committees and councillors	FG&A 11

**APPENDIX F – DECLARATION BY THE EDITOR**

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**TO WHOM IT MAY CONCERN**

I, DR LARAINÉ C O’CONNELL, hereby declare that I am an editor/translator and a registered member of SATI (South African Translators’ Institute), Registration number 1001497.

I further declare that I have edited the following dissertation

**THE HUMAN RESOURCE ALIGNMENT WITH THE STRATEGIC  
PLAN 2006 - 2011 IN THE EASTERN CAPE CHRIS HANI DISTRICT  
MUNICIPALITY WITH SPECIFIC REFERENCE TO THE  
EMALAHLENI LOCAL MUNICIPALITY**

submitted by Ms NOMVELISO NYUKWANA.

**A MINI-DISSERTATION IN PARTIAL FULFILMENT OF THE  
REQUIREMENTS FOR THE DEGREE OF MASTER IN PUBLIC  
ADMINISTRATION IN THE FACULTY OF MANAGEMENT AND  
COMMERCE, SPMD, DEPARTMENT OF PUBLIC ADMINISTRATION  
UNIVERSITY OF FORT HARE**

**SUPERVISOR: PROF. M.H. KANYANE**

**DR LC O’CONNELL  
30 April 2009**