TOWARDS A HUMAN RESOURCE PROVISIONING POLICY FOR MUNICIPALITIES IN THE NORTHERN FREE STATE

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DECLARATION OF INDEPENDENT WORK

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I, LAMBERT MAHLEKEFANE MAKHALEMELE, identity number 660629 5330 086, student number 11328150, hereby declare that this research project submitted to the North-West University for the degree **DOCTOR OF PHILOSOPHY: PUBLIC MANAGEMENT AND GOVERNANCE** is my own independent work. It complies with the Code of Academic Integrity, as well as with other relevant policies, procedures, rules and regulations at the North-West University and has not been submitted before to any institution by myself or any other person in fulfillment (or partial fulfillment) of the requirements for the attainment of any qualification.

....

Signature of Student **Date**

DEDICATION

This book is dedicated to my parents, Mr. Marshall Pule Hendrick and Mrs. Alina Maleboya Makhalemele, who have been permanently removed from me and my sisters.

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SUMMARY

The *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), in Section 152, states that a municipality must strive, within its capacity, to achieve the objectives regarding efficient service delivery, and the South African Local Government Association's (SALGA) objective is to build the capacity of local government to contribute towards a developmental democratic governance system that addresses and meets basic human needs.

In this way, increased pressure is being placed on local government, especially in Metsimaholo, Moqhaka and Ngwathe in the Northern Free State, to provide more and improved services to their communities. This can be ascribed to changes taking place within the country, and which, in the spirit of *Batho Pele* require the municipalities to adapt to such changes in a manner that will ensure that proper services are provided to the communities.

One way to relieve the pressure on the Northern Free State is to ensure that the statutory and regulatory framework for human resources provisioning is known and practiced in the municipalities; principles of municipal policy-making are strongly adhered to and executed; and theory and principles of human resource provisioning understood and implemented correctly, for proper services to be delivered to the communities. This realization resulted in the objectives as outlined in this study. During the study it was determined that the process in policy-making for the Northern Free State municipalities was not adhered to, was influenced by political interference and thus led to poor performance by municipalities. It was also determined that, due to lack of adherence to steps in the policy-making process in these municipalities skilled and professional people were not being employed.

A further objective with the study is to construct a single human resource provisioning policy for the Northern Free State municipalities through which shortcomings in human resource provisioning can be limited and uniform human resource provisioning arrangements can be determined for these municipalities.

It was determined that the universal human resource provisioning model offered scientifically based guidelines for human resource provision policy-making. The afore-mentioned determination lead to the conclusion that the human resource provisioning policy model created an ideal framework within the three municipalities; could identify problems; determine objectives; and formulate, implement and evaluate human resource provisioning policies. In fact, it creates a framework within which policy-makers and human resource provisioning officials can work to determine human resource provisioning policies. The policy-making model and the human resource provisioning policy are of universal value because they offer guidelines which can be applied by any other municipality in the Free State province and the entire Republic of South Africa's municipalities.

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CHAPTER 1

INTRODUCTION

1.1 ORIENTATION AND PROBLEM STATEMENT

A municipality must strive, within its capacity, to achieve the objectives regarding efficient service delivery as set out in section 152 of the *Constitution of the Republic of South Africa*, 1996. Section 152 of the Constitution determines that municipalities (also called local governments) must annually review the following guidelines:

1. Determine the needs of the community.
2. Set its priorities to meet those needs.
3. Set its processes for involving the community.
4. Determine its organisational and delivery mechanisms (including human resources) for meeting the needs of the community.
5. Determine its overall performance (including human resources) in achieving the objectives referred to in subsection 1.

For municipalities to achieve these objectives they must be able to follow and adhere to strict and yet manageable and flexible human resource policies, in order to appoint personnel with the necessary skills to adhere to the Constitution. This will secure an efficient and well functioning personnel corps, which will be able to deliver services that will address people's needs.

Derived from the guidelines set by the Constitution, legislation were promulgated in order to lay down more detailed guidelines that public institutions, such as municipalities, should follow to secure the mentioned well functioning personnel corps. Some of the Acts that employers and employees have to implement include the *Labour Relations Act*, 1995 (Act 66 of 1995) (LRA), *Basic Conditions of Employment Act*, 1997 (Act 75 of 1997) (BCEA, 1997), *Employment Equity Act*,

1998 (Act 55 of 1998) (EEA) and the *Local Government Municipal Systems Act*, 2000 (Act 32 of 2000) (LGMSA).

The **LGMSA** states in section 72 that a municipality must adopt appropriate procedures providing for fair, efficient, effective and transparent personnel administration, including the following:

1. The recruitment, selection and appointment of personnel as staff members.
2. The supervision and management of staff.

The municipal manager, according to the **LGMSA** (Section 152), has special responsibilities to ensure that the municipality's Integrated Development Plan (IDP) is implemented and monitored, and that services are provided to local communities in a sustainable manner. The objective with the Integrated Development Plan (IDP) is to assist municipalities to be strategic in how they address the development challenges facing their areas. South African municipalities are required to conduct IDP's to strategically inform their developmental projects to achieve the objectives of the developmental local government (Van der Molen, van Rooyen & van Wyk, 2002:218).

A municipal manager, in particular, is directly or indirectly responsible for a number of human resource functions, such as the recruitment, selection and appointment of personnel (human resources) directly accountable to him/her or for the municipality as a whole. The municipal manager is also responsible, together with the human resource manager, for the management and training of staff, the maintenance of discipline of staff, and the promotion of sound labour relations. It is therefore the duty and responsibility of the municipal manager and the head of human resources to follow and adhere to the management of human resources, such as the recruitment, placement and training of personnel, as outlined by the **LGMSA**.

As indicated above, a municipal manager and head of human resources will have an influence on the betterment and improvement of services to communities through the securing of an efficient personnel corps. With proper implementation of human resources policies and processes, municipalities will be able to employ capable employees who will be able to sustain the efficient delivery of services delivered to the respective communities in their jurisdiction.

A human resource department has to ensure, together with the municipal manager, that there is careful planning and that every new employee is orientated and inducted accordingly. This orientation and induction process should ensure that employees are aware of legislation governing employers and employees in municipalities. Some of the Acts that employees have to be made aware of include the LRA, BCEA, 1997 and the EEA. Knowledge of the contents of these acts will lead to a personnel corps that will understand their rights and this will normally have a positive influence on the morale of municipal officials.

The EEA deals with unfair discrimination. The Act prohibits discrimination on any arbitrary grounds, including, but not limited to, race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, political opinion, language, culture (Bendix, 2000:89). This Act should form the basis of any affirmative action policies that exist to govern the human resources process in municipalities.

The LRA advances economic development, social justice, labour peace and the democratisation of the workplace by fulfilling the primary objectives of the Constitution (Bendix, 2000:82). The Council on Conciliation, Arbitration and Mediation (CCMA), established based on the requirements of this Act, ensures that labour disputes between the employers and the employees are settled amicably (Bendix, 2000:85).

The BCEA, 1997 ensures that all employees enjoy certain minimum conditions of employment. The Act has furthermore proposed that the Minister of Labour be given

the power to deem certain categories of persons as "employees"(Christianson & Strydom, 1998:82).

The-afore-mentioned acts create the framework for the establishment of a policy for human resources in municipalities. It directs the activities of politicians and senior officials such as human resource managers and it lays the foundation for the development of procedures, within the parameters of the policies that will guide the personnel in human resource departments to manage human resources effectively (Erasmus, *et al*, 2005: 34-35).

Amos & Ristow (1999:94) and Gildenhuys (1997:113) state that human resources provisioning is basically about attracting a pool of potential candidates from which the ideal candidate can be selected, as cost-effectively as possible, while Anderson (1994:83) states that human resources provisioning is a means that employers use in order to persuade people to apply for employment. Craythorne (1997:330) concurs with this view, but elaborates that employment do not just happen; it is a process that has an influence on the municipality and the employer to be. Human resources is the end process in a chain of events that started with organisation design and job analysis and proceeded through manpower planning to the stage where one or more employees in one or more jobs are appointed. The need is not for a person but for a specific person who can do a specific job (Graham & Bennett, 1992:188).

Human resources management implies a focused choice among alternative candidates for employment based on some established criteria. It is important to know the skills, knowledge, experience, and attributes required for effective performance (Walker, 1992:181). Walker (1992:181) further states that most municipalities specify the experience, education, knowledge, skills, or abilities sought in candidates, relative to position descriptions and requirements. Proper human resources will assist municipalities to ensure that the services they have to provide to communities are efficient, effective and sustainable. Municipalities have to

ensure that service delivery to communities is equitable and accessible, and that the best possible use is made of all available human and physical resources. It is therefore proper for municipalities to recruit capable, efficient, able, willing and effective personnel, who will be willing to carry the objectives of a municipality, forward (Chowdhury, 2000:17).

The first requirement for effective human resource management is a well-conceived human resource provisioning policy (Cloete, 1997:104). Such a policy, which should form part of the general human resources policy, should provide guidelines for the institutions on personnel planning, job analysis, recruitment and selection of officials. The policy should state the goals that a municipality is supposed to achieve on human resource provisioning (Cloete, 1997:104). Gildenhuys (1997:113) concurs and indicates that the criteria and actions related to human resources provisioning have to be carefully considered and presented in a policy. Strategies for personnel planning, job analysis, recruitment and selection can then be developed for implementation.

A pilot study by the researcher in the three municipalities revealed that there is not a sound relationship between human resource planning, job analysis, recruitment and selection. In the three municipalities, there is a lack of sound human resource planning and this results in a lack of relationship as mentioned. Job analysis is vague and there is not a clear understanding of the nature and scope of posts that have to be filled. This is seemingly a problem in other municipalities as well, because Erasmus, *et al* (2005: 206-207) state that municipalities go on advertising campaigns without a proper analysis of the contents of posts, which means that recruitment takes place without an alignment with the inherent requirements of the relevant posts.

There is also a lack of trust between the municipalities and communities, because of the way the municipalities manage their human resources. People who are recruited and appointed by municipalities to serve them and their communities have to be

people with proper qualifications, potential and credibility. Without credibility, the visions, missions, goals and objectives of municipalities will fade and relationships between such municipalities and communities will wither (Chowdhury, 2000.19).

The pilot study also indicated that the municipalities of Metsimaholo, Moqhaka and Ngwathe do not have adequate human resource policies, or where policies exist, they are not implemented successfully. This means that the objective of recruitment is vague, appointments of personnel is under suspicion, legislation is not adhered to, the role of unions is misunderstood, the availability of funds to recruit and pay workers are non existing and the administration to make human resource provisioning successful lacks.

The South African Local Government Association (SALGA) states in this regard that some municipalities, inter alia in the Northern Free State lack the human skills to address development challenges. One of the challenges for municipalities is to attract and retain human skills. A SALGA's discussion document states that "Various studies have shown that there is a lack of qualified staff in municipalities"(Mangena, 2004:2). However, this shortage of skilled personnel is not only a problem within municipalities, but also a problem across all spheres of government.

The mentioned pilot study indicated that this study is feasible and the researcher proceeded with an in depth empirical study where he dug into the current situation in the municipalities to get a complete understanding of human resource management and activities. The methodology followed and the results of the pilot study and the empirical study form chapter 2.

Given the above orientation of the context of human resource provisioning in municipalities as background the research question is the following: "What is the current state of affairs in the municipalities regarding human resource provisioning and policies and what should sound human resource provisioning and policies on municipal level consist of, taking theory and statutory principles into account?"

The careful conceptualisation and phrasing of the research question is critical, because everything the researcher does in the remainder of the study will be aimed at answering this question (Graziano & Raulin, 2004:43).

The above discussion and research question leads to the following research questions:

1. What is the current state of affairs regarding human resource provisioning in the three Northern Free State municipalities?
2. How is human resource provisioning defined within the context of municipalities?
3. What current statutory and regulatory framework is relevant for sound human resource provisioning in municipalities?
4. What are the existing theoretical principles regarding policy and the policy-making process?
5. What existing policy-making model(s), that describe and explain various aspects of policy-making, can be used to address problems in human resource provisioning in the three municipalities?

1.2 OBJECTIVES OF THE STUDY

The objectives with this study are the following:

1. To determine the current state of affairs regarding human resource provisioning policies in the three Northern Free State municipalities.
2. To determine how human resource provisioning is defined within the context of municipalities.
3. To describe the current statutory and regulatory framework relevant for sound human resource provisioning in municipalities.
4. To determine the existing theoretical principles regarding policy and the policy-making process.

5. To establish what existing policy-making model(s), that describes and explain various aspects of policy-making, can be used to address problems in human resource provisioning in the three municipalities.

1.3 CENTRAL THEORETICAL STATEMENT

1. A central theoretical statement reveals self-evident truths of research. These truths are the foundation upon which a study rests (Leedy & Ormrod, 1985: 7):

2. Human resource provisioning in the Public Sector (including municipalities) is aimed at good fit employment relationships in turbulent and ever-changing environmental conditions (Erasmus, *et al*. 2005: 4 & 10).

3. Municipalities have the right to govern, on their own initiative, the local government affairs of their communities, subject only to constitutional, national and provincial legislation (Craythorne, 1997: 14).

4. The policy-making process has several phases, including initiation, design, analysis, formulation, implementation and evaluation that should be successfully implemented (Cloete & Wissinki, 2004:3).

5. Policy implementation encompasses those actions by public institutions (municipalities) that are directed at the achievement of objectives set forth by policy decisions (Cloete & Wissinki, 2004: 166).

1.4 IMPORTANCE OF THE STUDY

This study will address human resource provisioning and policies in the three Northern Free State municipalities. The researcher will strive to influence the policy-making process on human resource provisioning in the three municipalities in order

to ensure better outcomes in the implementation thereof. This means that the current hindrances in the human resource policies of the three municipalities will be eradicated as far as possible to secure better human resource provisioning. The pilot study indicated that the human resource provisioning in the three municipalities are not up to standard and that the implementation of current human resource policies is neglected.

With this as background, the latest statutory and legislative guidelines of government will be determined to make sure that this legislation forms the basis of the human resource policies. The model that will be presented will describe and explain the various aspects of public policy. It will also establish procedures and activities, not mentioned in statutory and legislative guidelines to secure a policy that can be implemented in practice.

This study will also be of value for other smaller municipalities in the Free State if they experience similar problems in the effective implementation of human resource provisioning and the development and implementation of human resource policies. This will lead to the appointment of competent personnel in order to secure better service delivery to local communities.

1.5 KEY TERMINOLOGY UNDERLYING THE STUDY

Certain concepts are used throughout this thesis. It is important that these concepts be defined in order to ensure clarity and the correct application thereof.

1.5.1 Human resource provisioning

Human resource provisioning can, as mentioned, be demarcated into four elements, namely human resource planning, job analysis, recruitment and selection. An analysis of these aspects will give an insight and theoretical framework on human resource provisioning. One must remember that the indiscriminate implementation of

these elements will lead to increasing numbers of personnel as well as people who will find themselves in position that they cannot effectively manage (Botes, 1978:41-42).

1.5.2 Theory

Theory is a comprehensive, systematic, consistent and reliable explanation and prediction of relationships among specific variables. It is built on a combination of various concepts and models, and attempts to present a full explanation and even prediction of future events. Theories can also be used descriptively or prescriptively. While theories are normally assessed in terms of their predictive validity, models are normally assessed in terms of their utility in accurately reflecting reality (Cloete & Wissinki, 2004:24-25).

1.5.3 Statutory and legislative framework

Understanding of statutory and regulatory aspects of human resource provisioning activities is necessary to contextualise this study. Human resource provisioning activities on municipal level can only succeed in reaching its goals, namely to assist in efficient and effective service delivery, if municipalities (as employers) can ensure that its employees understand the statutory and regulatory framework regarding human resources provisioning (Rule, 2000:19).

1.5.4 Policy

Hogwood & Gunn (1984:23-24), in Cloete & Wissinki (2004:12) define a policy as a series of patterns of related decisions to which many circumstances and personal group and organisational influences have contributed.

1.5.5 Policy-making

Webster's New World College Dictionary defines policy-making as the act or process of setting and directing the course of action to be pursued by a government, business, or other institution. Hogwood & Gunn (1984:23-24) in Cloete & Wissinki (2004:12) state that policy-making is a process that involves many sub processes and may extend over a considerable period of time.

1.5.6 Model

Cloete & Wissinki (2004:24) define a model as a representation of a more complex reality that has been oversimplified in order to describe and explain the relationships among variables, and even sometimes to prescribe how something should happen. Models can therefore be used in a neutral, descriptive way, or they can be used in a normative way, expressing a preference for a particular value judgement. Models are built around specific concepts.

1.6 RESEARCH METHODOLOGY

The following literature (in 1.6.1 below) will be analysed to form the foundation of this study:

1.6.1 Literature

Vague ideas are not sufficient to undertake a scientific study. Research literature must be examined to learn how to conceptualise, measure and test ideas. The careful examination of literature is thus an important part of a study (Graziano & Raulin, 2004:43).

A literature study formed the basis of the analysis of the theories and principles of human resource provisioning activities and policies. A description of current statutory

and legislatory guidelines was undertaken to determine what government expects from municipalities regarding the provision of human resources. The literature study was also used to analyse the current human resource provisioning activities in the Northern Free State municipalities concerned.

An analysis of the literature indicated that there were ample books, journals, reports, newspaper articles and other literature on human resource provisioning available to undertake a study of this magnitude. It has also been established that there are several governmental acts, white papers and guidelines to establish what government prescribes regarding recruitment in the public sector. Official documentation was made available by the municipalities, which were used to analyse human resource policies and activities.

The literature study also reveals that there were not related academic studies being undertaken on this specific subject. The study can thus be regarded as unique.

1.6.2 Empirical study

In this research, a qualitative research design was mainly followed. Qualitative research focuses on phenomena that occur in natural settings, that is, in the "real world". Secondly, qualitative research involves studying phenomena in all their complexity. Qualitative researchers recognise that the issue they are studying has many dimensions and layers, and so they try to portray the issue in its multifaceted form (Leedy & Ormrod, 2001:147).

Qualitative research produces descriptive data and usually no numbers or counts are made. Qualitative researchers often formulate only general research problems and ask only general questions about the phenomenon under study. However, the research problem asked in the beginning of the study did not stay loosely defined. As the study proceeded, the researcher got a better idea on the nature of the

phenomenon and problem and the chapter on the development of a model subsequently emerged. The study thus evolved over the course of the study.
Swanson & Hilton III (1997:88) state that qualitative research involves the collection and study of a variety of empirical materials, case study, personal experience, introspective, life story, interview, observational, historical, interactive, and visual tests that describe routine and problematic moments and meanings in individual lives. Qualitative research helps the researcher to –

1. gain insight into the nature of a particular phenomenon;
2. develop new concepts and theoretical perspectives; and
3. discover the real problem that exists.

The specific qualitative design is a case study and content analysis. In the case study, a particular individual programme or event is studied in depth for a period of time. A case study is particularly suitable for learning more about a little known or poorly understood situation. In this thesis, the programme is the activities of the three municipalities and the reasons why human resource provisioning activities and policies are not implemented as required. Content analysis is a detailed and systematic examination of the contents of a particular body of material for the purpose of identifying patterns, themes or biases (Leedy & Ormrod, 2001: 149-156).

The researcher chooses qualitative research as method because qualitative researchers attempt to remain neutral, objective and apart from the reality, they study. The qualitative researcher tries to create a research environment devoid of extraneous influences or attempt to have them operate equally among groups so that they can isolate key causes, ensure reliability and validity, and strengthen productive capability of the phenomena being studied.

The locus of the study is the three Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe municipalities. These municipalities comprises eleven (11) towns, serving a total population estimated at around 710 000. The

combined municipal workforce (employees) for these municipalities is 2266, with Moqhaka accounting to 44.1%, Metsimaholo 28.2% and Ngwathe 27.7%. The headquarters of these municipalities are at Sasolburg (Metsimaholo), Kroonstad (Moqhaka) and Parys (Ngwathe). The towns receiving services from these Northern Free State municipalities are Sasolburg, Deneysville, Oranjeville, Kroonstad, Viljoenskroon, Steynsrus, Koppies, Parys, Heilbron, Vredefort and Edenville.

The following table illustrates the profile of the municipalities:

Table 1.1: Profile of the Northern Free State municipalities

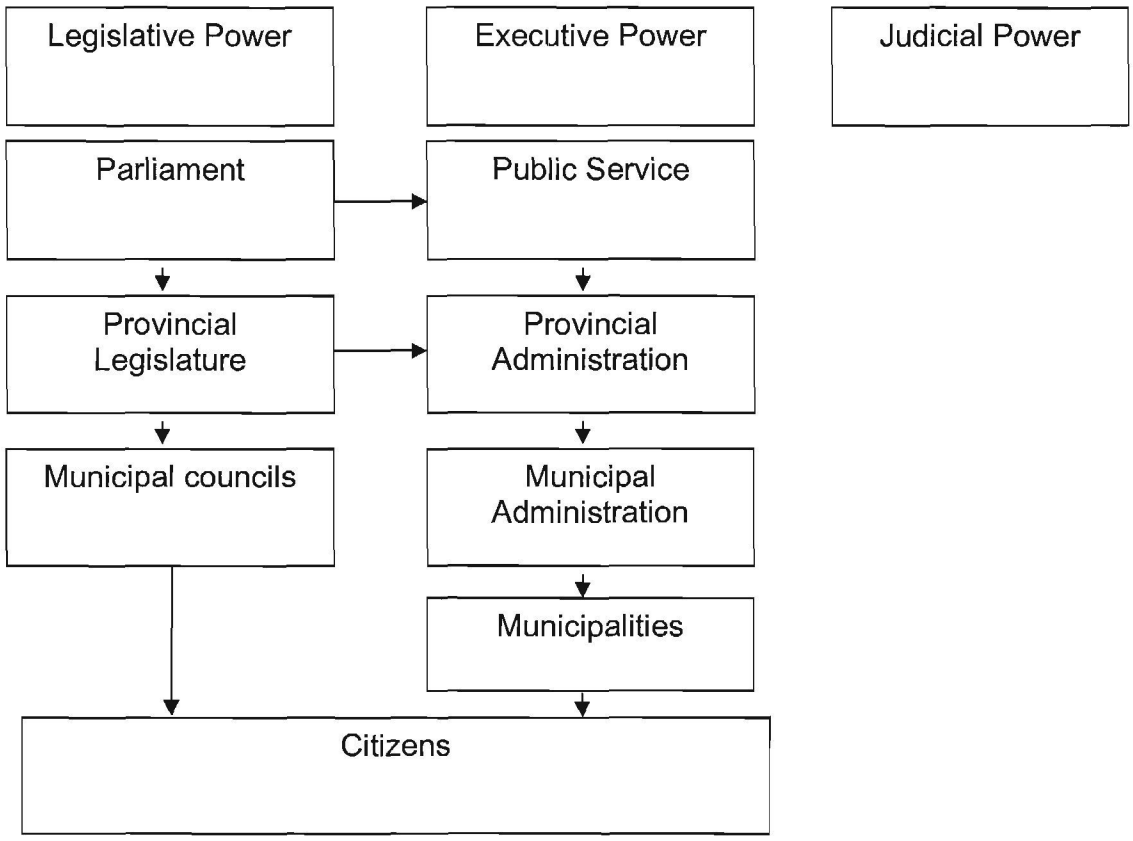
Name of municipality	Population (Estimate economically active) (%)	Workforce (%)	Towns (%)
Metsimaholo	300 000 (42.3%)	685 (30.2%)	3 (27.3%)
Moqhaka	260 000 (36.6%)	999 (44.1%)	3 (27.3%)
Ngwathe	150 000 (21.1%)	582 (25.7%)	5 (45.4%)

Information from Municipal Managers (See Appendix B)

The hierarchical position of municipalities in the government structures can be depicted as follows:

Diagram 1.1: Municipalities as part of the government structure
(Craythorne 1997:5-6)

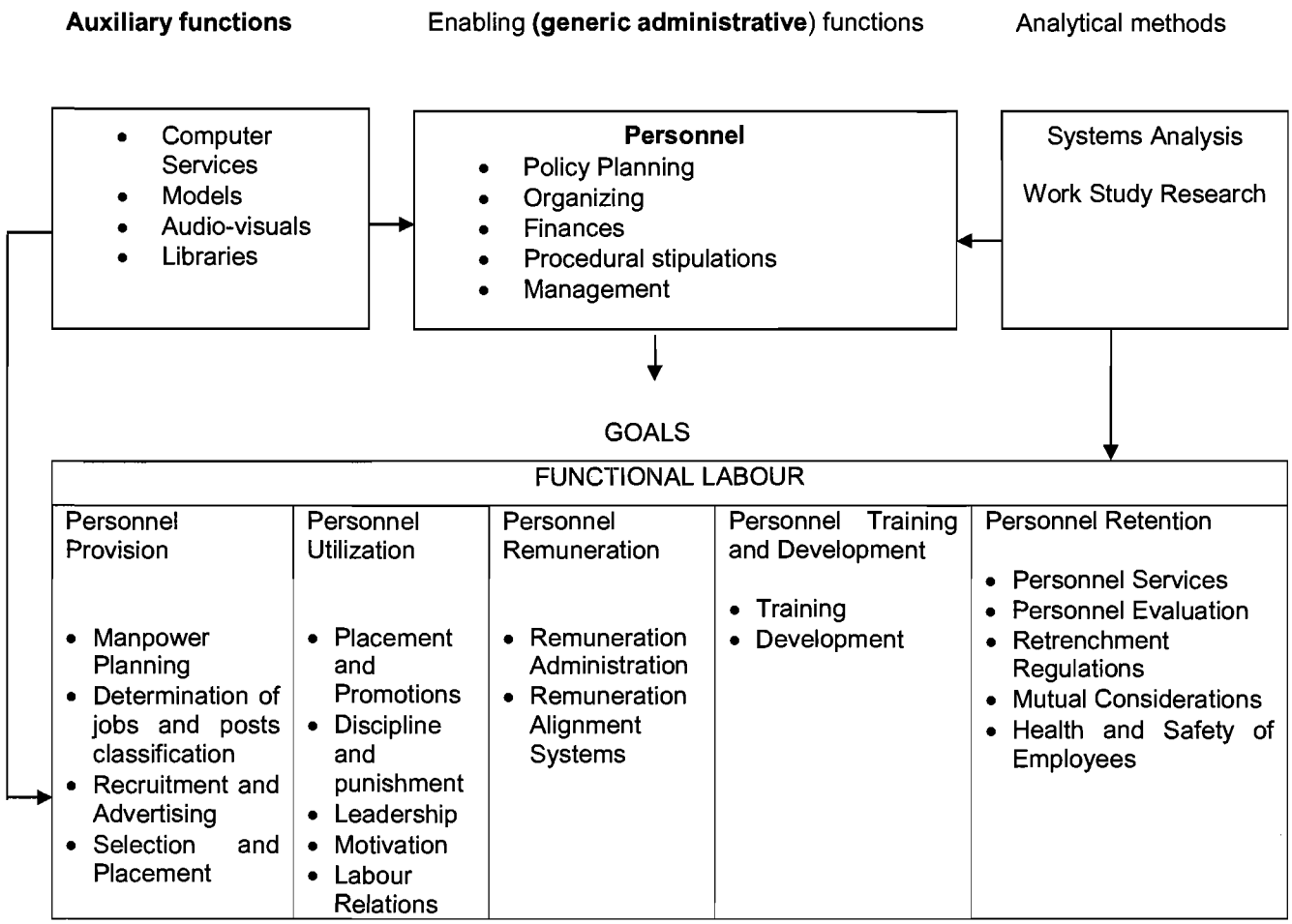
Political and Government Structure



The focus of the study is the human resource provisioning activities in the three municipalities and policies in this regard. To come to grips with the focus, data were collected, which included interviews, documents, past and current records, and other relevant material such as official documents. This revealed the nature, processes and systems in place in the mentioned municipalities regarding their current human resource activities. The researcher gained insight about the nature of the human resource activities, discovered the problems that existed and developed or adapted existing human resource policy guidelines for the municipalities.

The focus of the study can diagrammatically be depicted as follows:

Diagram 1.2: Human resource activities in Public Administration



(Andrews 1987:6)

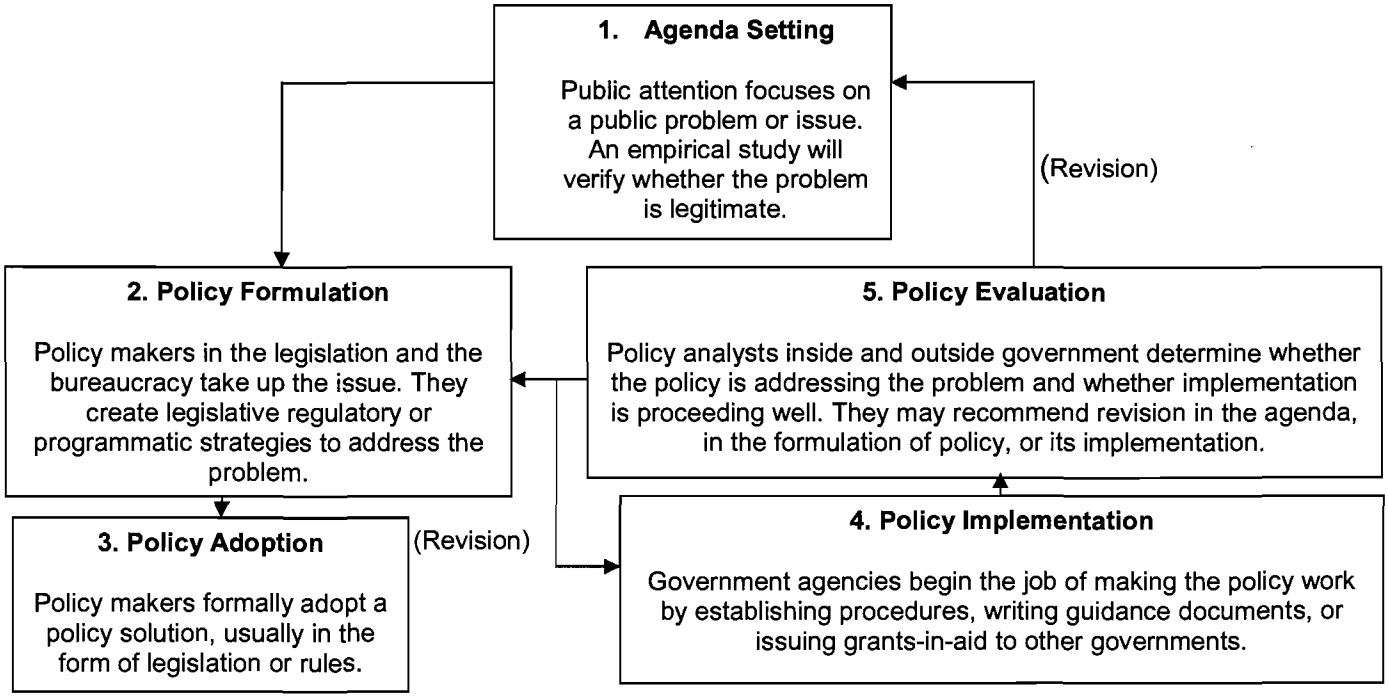
A policy model has also been utilised in order to explain and prescribe how a human resource policy should be implemented in the three municipalities. "In this instance the model is normative in a way" (Cloete, *et al*, 2004: 24). This means that models are instruments to guide the three municipalities to rectify the human resource provisioning and policies.

1.7 THEORETICAL FRAMEWORK FOR THIS THESIS

Policy-making is a cyclical process and it begins with the agenda setting stage with recognition and definition of a significant public problem and a public call to government to address the problem. In response, the legislative and bureaucratic machinery of government may formulate, adopt and implement a strategy for addressing the problem. Analysis of policy effectiveness in turn often reveals shortcomings in formulation or implementation or new problems to add to the policy agenda (http://texaspolitics.laits.utexas.edu/htm/bur/).

The theoretical framework for this thesis can be depicted in the following diagram:

Diagram 1.3: The policy-making cyclic process relevant for this study (http://texaspolitics.laits.utexas.edu/htm/bur).



Agenda setting refers to Chapter one and two of the thesis where the attention is focused on the problem of human resource provisioning in the three Northern Free State municipalities. To achieve sound human resource provisioning in these municipalities a pilot and empirical study was undertaken.

Policy formulation refers to Chapter three where legislation is analysed to determine relevant current legislation that has already been adopted to guide human resource provisioning.
Chapter four concentrates on what human resource provisioning is.

Chapter five analyses the policy-making process.

Chapter six refers also to **policy formulation** and to **policy adoption** where a *model* is developed to guide municipalities in the development of a policy for human resource provisioning. In the policy formulation circle this is referred to as "They create legislative, regulatory, or *programmatic strategies* to address the problem"

Policy implementation refers to government (municipalities) beginning the job of making the policy work by establishing guidelines. Chapter seven will address this issue.

1.8 CHAPTER LAYOUT

1.8.1 Chapter 1 Introduction

This chapter orientate readers about the problems statement (human resource provisioning in the Northern Free State municipalities). In some municipalities human resource policies are not in place and in some municipalities where human resource provisioning exists, they are not properly followed and not effectively operational.

1.8.2 Chapter 2 Current human resource provisioning in the three municipalities

This chapter concentrates on the pilot and empirical study undertook in the three municipalities. The pilot study was conducted as a preliminary investigation. During the pilot study, the researcher determined that the study is feasible. After the pilot study the researcher did an in depth study on human resource activities in the three municipalities? The chapter presents data collected, results of findings, results of interviews, contents of official documents and records gathered on site.

1.8.3 Chapter 3 Statutory and Regulatory Framework for Human Resources Provisioning in municipalities

This chapter deals with the statutory and regulatory framework for human resources in Local Government. The Constitution, chapter 10, EEA, BCEA, and LRA will be dealt with in this chapter. This legislation forms the basics on how human resource provisioning should be planned and implemented.

1.8.4 Chapter 4 Contents of Human Resource Provisioning

This chapter concentrates on an analysis of human resource provisioning, and aspects such as planning, job analysis, recruitment and selection will be dealt with. Human resource planning (step one) is an attempt to forecast how many and what kind of employees will be required in the future, and to what extent this demand is likely to be met. Job analysis (step two) has to do with the analysis of the tasks, duties and responsibilities of a specific position. Recruitment (step three) strives to obtain the smallest number of candidates who appear to be capable of performing the required tasks of a specific job.

1.8.5 Chapter 5 Policy-making process

This Chapter concentrates on the policy-making process and where the development of a policy for human resource provisioning fits into the process. The policy-making process is a dynamic process that consists out of different phases. This implies that different interactions take place during the phases of policy-making. This will provide the theoretical foundation for the development of a policy for human resource provisioning for the relevant municipalities in the Northern Free State.

1.8.6 Chapter 6 Policy for Human Resource Provisioning

This chapter indicates to the readers how municipalities are constantly challenged, in a changing external environment and due to internal environmental factors (such as organisational structures and poor internal organisational arrangements), to organise their human resource provisioning in a meaningful way.

1.8.7 Chapter 7 Addressing Human Resource Problems at the Hand of a Model

This chapter indicates to the readers how a policy is the cornerstone of all activities in an institution and a 'map' to guide employees to reach objectives effectively. Any policy is an overarching and fairly all-encompassing document. A well-developed policy has to take into consideration the mission of the organization, the critical aspects of protection, the threats posed and the mitigating risks against known vulnerabilities.

1.8.8 Chapter 8 Implementing of a Human Resource Provisioning Policy

This chapter indicates to the reader the condition for the successful implementation of human resource policies, the diverse meanings of implementation, and

approaches to implementation and the model for implementation of human resource provisioning policy, as proposed by the researcher.

1.8.9 Chapter 9 Conclusion and recommendations

In this chapter, a conclusion is made, based on the findings of the study.

1.9 CONCLUSION

The objectives with the study were determined in this chapter and a research question was formulated to guide the study. A central theoretical statement further spells out the purpose of the study. This is to address the problems regarding human resource provisioning and to determine guidelines to rectify the identified problems. It is also important to note that this study is unique in that it focuses on specific municipalities, but that the results can be utilised by other smaller municipalities in the Northern Free State.

The following chapter aimed to provide an orientation of the point of departure of this study. The problem was discussed to indicate that the human resource provisioning activities in the three municipalities lacks a scientific point of departure and that policy in this regard are inadequate. This was deducted from the pilot study that was undertaken. The Pilot study indicated that the policies on human resource provisioning were outdated and some of the personnel in these departments even regarded policies as unnecessary and useless paperwork. Political interference was also determined to be an obstacle in the selection of new personnel. There are also deliberate attempts from politicians to prevent transparent human resource provisioning.

CHAPTER 2

CURRENT HUMAN RESOURCE PROVISIONING STATUS IN THE THREE MUNICIPALITIES

2.1 INTRODUCTION

Denzin & Lincoln (1994:213) state that before a researcher devotes him to the arduous commitment of a qualitative study it is important to undertake a pilot study. Pre-interviews with selected key participants and a brief period of observation as well as a document review can assist the researcher to determine the validity of a study to be undertaken. The pilot study allows the researcher to focus on particular areas that have been unclear previously. A pilot study may also be used to test certain questions and in the process contact is made with participants and communication patterns are developed (Denzin & Lincoln, 1994:213).

A pilot study was undertaken in the human resource provisioning departments of the three municipalities to adhere to the afore-mentioned aspects. It was determined that the human resource activities in these departments were not up to standard and that moderate to severe problems exist. It was also determined that the policies on human resource provisioning were not sufficiently developed and implemented.

Qualitative research followed the pilot study and the researcher undertook an in depth study of the current situation in the three municipalities regarding human resource provisioning and policies. Qualitative research helped the researcher to reveal the contents of human resource provisioning in the three municipalities as well as the policies. Qualitative research also provided a means through which the researcher could judge the effectiveness of the human resource provisioning activities and policies. It enabled the researcher to gain insight about the phenomenon and to develop guidelines to rectify the situation.

During the research, a researcher has thus had the opportunity to assemble at a particular time and place information on a specific problem or opportunity and to come up with new ideas. A model can typically indicate new ideas. In this way a model is normative, it describes how something should be done (Cloete, 2004: 24). In this study, it is important because the pilot and qualitative study at the three municipalities reveal, as mentioned, that poor human resource provisioning activities and policy in this regard are fundamental flaws in appointing the best personnel.

2.2 PILOT STUDY

According to Leedy and Ormrod (2001:116), a pilot or feasibility study has the following goals:

1. It is a brief exploratory investigation to try out particular research procedures, measurement instruments and methods of analysis.
2. It is a way to save time when the actual research is undertaken.
3. It will indicate which approach is effective to solve the overall research problem.

A pilot study is of special value to acquire insight into the study that was previously not apparent. A pilot study also tests certain questions and initial rapport with the participants is established. It could be regarded as a warming-up phase of the actual study (Denzin & Lincoln, 1994:113).

The research methodology applicable for a pilot study is basically the same as in a qualitative research, although the process is much more briefly in nature. However, the methodology, or method of collecting data, still necessitates secure planning, the structuring of interviews and the analysis of official documents. Research methodology as such focuses on the process of research and the decisions that the researcher has to take to execute the study. This includes the method of data collection and data analysis (Brynard and Hanekom, 1997: 28).

During the pilot study, semi-structured interviews were held. A brief period of observations was undertaken to determine the activities of the personnel and some official documents were reviewed. The results of the pilot study were of great value to the researcher, to determine the current status of human resource provisioning and related policies in the three municipalities.

2.2.1 Methodology followed in the Pilot Study

The main method of data collection was, as mentioned, through semi-structured interviews, brief observations and analysis of official documents. The following documents were analysed:

1. Human resource policies.
2. Council minutes.
3. Departmental minutes.

In interviews, a researcher must exactly determine what questions are to be asked, in what form and in what order. An interview must adequately cover the area of information sought. A personal interview normally includes a small number of questions, but there are many opportunities for the interviewer to probe for more information and sometimes it may require several hours to complete (Graziano & Raulin, 2004: 311).

2.2. 2 Sampling procedures

Obtaining an adequately sample from the three municipalities was important to validate the pilot study and the following considerations were taken into account (Graziano & Raulin, 2004: 311):

1. The participants in the interview were officials on senior level, middle management level and entry level. All three municipal managers and heads

of human resource departments were interviewed and with them three officials, one each, in the departments. The researcher needed to acquire the knowledge of the management teams who act as managers of each municipality.

2. The information needed was precisely determined. The questions are attached as appendix C.
3. The utility value of the information gained during the pilot study is important for future study and this was taken into account when gathering the information.

A total of nine participants, out of a total of 20 participants took part in the pilot study.

2.2.3 Format of interviews

In the pilot study the questions asked were, as mentioned, semi-structured, revolving around a few central questions. The researcher contacted the municipal managers and made appointments with them. Interviews were also arranged with the other participants. Each interview was approximately three hours. The researcher also inspected samples of official documents, such as policies, and notes were taken.

2.2.4 Results of the pilot study

The pilot study indicated the following:

1. The participants saw the human resource departments as core departments that each municipality must have, as it dealt with human resource issues on a daily basis. In all three municipalities the planning, analysis, recruitment and selection of persons were not in place and the foundation principles of provisioning of personnel were absent.
2. Human resources functions have to be done professionally to ensure that the best applicants are appointed. This was not at present the case.

3. The three municipalities had, to some extent, human resource policies. However, the policies that existed were to a large extent outdated, which hampered sound human resource provisioning.
4. Policies that were in existence did not enforce human resource activities such as personnel planning. The policies are also not in line with the municipality's culture of recruiting, selecting and promoting of staff. In other words, policies were outdated.
5. In two human resource departments' municipal officials on entry level regarded policies as unnecessary and useless paper work.
6. In the three municipalities, it was indicated that the main stumbling block for implementing human resource provisioning policies was the continual political interference, continuous reviews and due to the fact that each time a new director was appointed, he/she would strive to have a policy that would not unsettle him/her in his/her position. The content of legislation was then ignored. The researcher also found that instead of updating policies to be in line with the changing human resource landscape, political pressure rendered these policies useless.
7. Officials often experienced deliberate attempts on the part of councillors to prevent transparent recruitment and selection and career development.

The results of the pilot study indicated that the primary problems in the effective execution of the human resource activities were a lack of sound human resource provisioning activities and related policies and politicians' interference in those activities. The results of the pilot study, although typically not an in-depth-study, paved the way for the analysis of the human resource departments as well as related policies. It also indicated that the problem statement in chapter 1 was valid. Once the pilot study was completed the researcher embarked on qualitative research where the study focussed on human resource activities and related policies in all their complexities in the three municipalities.

2.3 QUALITATIVE RESEARCH ON HUMAN RESOURCE ACTIVITIES AND POLICIES IN THE THREE MUNICIPALITIES

As mentioned in chapter 1, a qualitative research approach was followed to undertake the empirical study. Through qualitative research the nature of the situation, setting, processes, relationships and systems was revealed in the three municipalities. This research method was also believed to lead to new concepts or theoretical perspectives on the problem area (Leedy & Ormrod, 1985:147-147).

In a qualitative research, researchers often use multiple forms of data in a single study. They can use observations, interviews, written documents and anything else that can help them to answer the research questions (Leedy & Ormrod, 1985: 158). The way the qualitative study was conducted will be discussed in the next sections.

2.3.1 Selection of the municipalities

The three municipalities in the Northern Free State were chosen as sample of the municipalities in the province. With the results obtained from the three municipalities, specific generalisations can be made that could be applicable for the other smaller municipalities in the Free State Province (total population). The sample design that was implemented was cluster sampling. An area map of the Free State was taken and the political divided entities were determined. A random selection was made and the three municipalities were chosen.

The municipalities in the Free State are grouped into areas as follows:

1. Northern Free State with three municipalities.
2. North Western Free State with five municipalities.
3. Central Free State with three municipalities.
4. Eastern Free State with three municipalities.
5. Southern Free State with three municipalities.

2.3.2 Selection of the participants

Obtaining an adequate sample is one of the most important factors in conducting interviews in qualitative research. If the population is too large and diverse it is impossible to question every member of the population (Graziano & Raulin, 2004:313). The total population of human resource provisioning personnel in the three municipalities is twenty. Personnel in human resource provisioning and the researcher regarded this number as within his control and he opted to interview as many as possible of this number.

A total number of thirteen, inclusive of a union shop steward each from the three municipalities, were interviewed. They were divided as follows:

1. Municipality one (Metsimaholo): five.
2. Municipality two (Moqhaka): three.
3. Municipality three (Ngwathe): five.

This number of participants can be regarded as small, but in a qualitative study in the USA a researcher interviewed 35 participants and the study was regarded as valid (Graziano & Raulin, 2004:315).

2.3.3 Interviews as method of data collection

According to Mukherjee (2000:41) data can be collected via specific means, which include interviews, observations and the analysis of documents. The purpose of interviews is to ask participants questions on their first hand knowledge of a phenomenon. The interview must contain informed questions in order to gain knowledge that can be used in a scientific manner (Bickman & Rog, 1998:365-366).

The questions asked during the interviews were based on the activities of human resource provisioning, namely personnel planning, job analysis, recruitment and

selection. Questions were also asked on human resource policy and the phase's model of Dunn was applied as foundation. This includes identifying the problem, setting of the policy agenda, formulating policy objectives, policy acceptance and policy implementation (Cloete, 2004:45-46).

The researcher spent quality time in gaining knowledge on human resource activities and policies in this regard in the three municipalities. It was kept in mind that (Leedy & Ormrod, 1985: 159) –

1. questions asked to the participants cover mostly past events and participants have to rely on their memories and past experiences;
2. information given by participants may be inaccurate;
3. the interviews are mostly unstructured, as it was a qualitative study; and
4. interviews in a qualitative study are unstructured and therefore yield more information and information that was not planned for.

The researcher was also aware of the fact that different information was gained from different participants, a problem with studies of this nature. Leedy & Ormrod (1985:197) state that interviews are usually open-ended, perhaps evolve around a few central questions that can go in different directions for the different participants.

In compiling the questions for the interview the researcher (Leedy & Ormrod (1985:197) –

1. *consider it how to quantify the responses. The researched had to some extend coding participants response;*
2. *every thing was, however, not quantified;*
3. *the questions asked was pilot tested by twenty participants to determine whether there were any weak points in the structure;*
4. *each question has been restricted to one idea;*
5. *controversial questions were restricted to the latter part of the interview; and*

6. *vague answers were clarified with participants.*

Because information on policies was mostly in document form or official files the researcher had also to study and analyse documents.

2.3.4 Analysis of documentation

Documents are extremely important to verify information gained from other sources, such as interviews. It is on its own important to provide evidence about specific events, happenings and material, such as policies ((Bickman & Rog, 1998:246-247).

The following documents were analysed during the empirical study:

1. Human resource policies (The following examples were found: Recruitment and selection policies). Other policies, like the skills development and health policies were only mentioned, but they could not be provided to the researcher.
2. Municipal Council minutes (Minutes of the Executive Committee and the full Council).
3. Departmental minutes (sectional and full departmental minutes).

2.3.5 Policies in the three municipalities

The only policies that the researcher found when perusing the three Northern Free State municipalities were the recruitment and selection policies. The other policies were not found, and the non-availability of other policies is proof that human resource policies in these three municipalities were unsound.

2.3.6 Questions asked during the interviews

The following unstructured questions were compiled and presented to the participants. In this way the required information on the current situation in the three municipalities were determined.

A. Questions on human resource provisioning legislation

1. Do you understand the relationship between legislation, human resource provisioning and existing policies in the municipality?
2. Do you understand the relationship between legislation and existing human resource provisioning policies in the municipality?
3. Can you give an indication of human resource provisioning policy based on legislation?

Legislation normally forms the broad basis of institutional policy. It is the task of officials to interpret such policies and lay down institutional policies to implement the policies that are based on legislation. In not doing so policies, such as a human resource policy may lack content and are seldom upgraded (Thornhill & Hanekom, Undated: 23).

B Questions on human resource provisioning

1. What comprises the human resource activities in the municipality?
2. What problems do you experience with planning for human resource provisioning?
3. Does your department undertake job analysis?
4. Is the recruitment function in your department effective?
5. Do you experience any problems when it comes to the selection of candidates?

Human resources are the primary resource in any municipality. Sound human resource provisioning and the appointment of motivated personnel is an essential prerequisite for service delivery to local communities. To accomplish this, the human resource department must operate effectively (Cheminais, *et al*, 1998:22).

C. Questions on policy-making in the municipality

1. Do you understand the phases in the policy-making process?
2. How do you determine flaws in the policy-making process regarding human resource provisioning?
3. What flaws are there currently in the human resource provisioning policies?

Policy-making is derived from inter alia, legislation and municipal officials. Municipal officials on top and middle level should be advisors on policy, policy formulation and policy implementation (Cloete, 2004:28). They have to understand the policy-making process to secure effective human resource provisioning.

D. Questions on a model for human resource provisioning

1. Do you know what to do to change the situation regarding flaws in the current human resource provisioning activities in the municipality?
2. What steps or actions have to be taken to rectify unsound human resource provisioning activities?
3. How can policies be amended to secure sound human resource policies?

A model has to do with the observation of the environment and imitating what is seen. From the identification of the fixed and variable components observed, and from analysing them, one can derive optimal solutions to address them by manipulating the components of the model (Fox & Meyer, 1995:83).

The results of the interviews are discussed next.

2.4 RESULTS OF THE QUALITATIVE RESEARCH

According to Leedy and Ormrod (1985:160) "...there is usually no single 'right' way to analyse the data in a quantitative study". Normally the researcher begins with a large body of information and must, through inductive reasoning, sort and categorise it until it boils down into a small set of themes. There are a variety of standards that a qualitative researcher may use when reporting on a qualitative study. The researcher followed these standards in order to secure valid results (Leedy & Ormrod, 1985:164-165):

1. Purposefulness: The research question was clear and focussed on the purpose of the study as a whole.
2. Explicitness: The researcher identified any beliefs, values and biases that may have an influence on the interpretation of data.
3. Rigor: The researcher used rigorous, precise and thorough methods to collect and analyse data.
4. Completeness: The researcher spent sufficient time in the field to understand the phenomenon and to describe the behaviour and perceptions of the participants.
5. Coherence: The researcher made sure that the findings were consistent.
6. Usefulness: The researcher made sure that the conclusions promoted a better understanding of the phenomenon, enabling more accurate predictions about future events in the municipality.

The researcher outlined the responses of the human resources personnel per municipality according to the four categories of questions asked. The researcher also interviewed shop stewards, as union representatives and members of selection committees in the LLF in the three municipalities. In this way their viewpoints on human resource provisioning was obtained. Unions are regarded as stakeholders in

the municipalities, especially in the LLF. In this forum unions represent the interest of labour on matters affecting their conditions of service, which is part of human resources responsibilities.

Below follows the responses to the questions, as per the human resource personnel at Metsimaholo Local Municipality. With this the researcher aims to shed further light on the situation in the three municipalities and to proving that human resource provisioning is not as effective as it should be. The researcher will also want to proof that human resource policies are non-existing and where there are policies, that they are outdated.

2.4.1 Metsimaholo Local Municipality

At Metsimaholo municipality, the researcher was able to interview five respondents, namely the Director: Corporate Services, the Manager: Human Resource Development, the Deputy Manager: Human Resources, the Human Resource Assistant and the National Education, Health and Allied Workers Union (NEHAWU) shop steward.

The results of the interviews will be discussed next.

2.4.1.1 Questions on human resource provisioning legislation

2.4.1.1.1 Do you understand the relationship between legislation, human resource provisioning and existing policies in the municipality?

All four human resource personnel members as well as the shop steward agreed that they understood that there was a relationship between legislation, human resource provisioning and existing policies in the municipality. Existing human resource policies (recruitment and selection, the only two which the human resource personnel were able to give to the researcher) in the municipality were based on legislation to ensure compliance with the Provincial and National Department of

Local Government's prescriptions. The respondents were of the opinion that the policies were rarely executed in the municipality. The respondents felt that the needs of the politicians and senior managers superseded the authority of policies, which meant that politicians in affect overrule legislation.

2.4.1.1.2 Do you understand the relationship between legislation and existing human resource provisioning policies in the municipality?

The four respondents, with the exclusion of the Director: Corporate Services agreed that they knew the relationship between legislation and existing human resource provisioning policies in the municipality, but all agreed in principle that their municipality did not take legislation into account as most of the time their policies were shaped by political interests and drafted for procedural reasons only.

2.4.1.1.3 Can you give an indication of human resource provisioning policy based on legislation?

The shop steward indicated that no policy at Metsimaholo municipality was based on legislation. However, the four human resource personnel stated that only the following policies at Metsimaholo were based on legislation:

1. Recruitment and selection policy (the status of this policy was bad according to the shop steward and the secretary for human resource).
2. Skills development policy (this policy was mentioned, but it was not available when the researcher asked for the copy).
3. Training policy (the researcher asked the municipal officials to give him a copy of this policy, but it was also not available on request).

The above means that there were no policies for human resource planning and job evaluation that were based on legislation.

2.4.1.2 Questions on human resource provisioning

2.4.1.2.1 What comprises the human resource activities in the municipality?

The four human resource personnel were in unison in indicating the following activities as the activities that must comprise human resource provisioning in the municipality:

1. Recruitment and selection.
2. Planning.
3. Training and development.

The respondents did not regard all human resource activities, such as job analysis, important.

2.4.1.2.2 What problems do you experience with planning for human resource provisioning?

The shop steward stated that lack of proper planning in general at the municipality could be attributed to political interference and appointment of staff members to the different positions at the municipality who lacked skills, potential and relevant and basic qualifications to the posts they were appointed into. The Director: Corporate Services and both the manager and deputy manager for human resources agreed with the shop steward's sentiments on lack of proper planning and political interference, as problems that the municipality encountered with regard to planning for human resource provisioning. The Director: Corporate Services further indicated the continued deployment of African National Congress (ANC) aligned prospective employees and applicants, as aspects that hampered proper planning for human resource provisioning at the municipality.

2.4.1.2.3 Does your department undertake job analysis?

Four of the five respondents agreed that job analysis was not done at Metsimaholo and that newly appointed personnel were placed in respective positions without any clear job description or position profile being readily available. Job descriptions were only being drafted with the employee after he/she already had assumed his/her duties. The shop steward indicated that job analysis was done, although on a very limited scale. The Director: Corporate Services also stated that deployment of personnel without job analysis been undertaken was taking its toll on the municipality because persons were appointed who did not possess the skills to perform the acquired tasks related to the posts.

2.4.1.2.4 Is the recruitment function in your department effective?

All five respondents indicated that the recruitment function in the human resource department were fully effective, as posts were being advertised, short listings compiled and interviews held. However, the respondents indicated that all vacant posts were advertised with the full knowledge of the persons who were going to be appointed into particular posts, irrespective of skills, potential, competency and basic qualifications. The Director: Corporate Services concurred with this and was of the opinion that the advertisement of posts in the media, was only done for procedural reasons as the municipality knew in advance who would be appointed in an advertised post. This meant in effect that the recruitment function was not as effective as initially thought.

The Deputy Director further indicated that the way appointments were made at the municipality, was due to a political mandate given to councillors and senior managers when they were appointed. This was to pursue the interests of the ANC as a majority party in the municipality, and not to pursue the aspirations and interests of the community of being provided with better services.

2.4.1.2.5 Do you experience any problems when it comes to the selection of candidates?

All five respondents agreed that there had always been problems when it came to the selection of suitable candidates for the advertised posts. Qualifications were lowered and skills and competencies were ignored in order to accommodate political deployment of friends and family members. All steps of the selection process were not followed and they regarded the selection as *window dressing.*

2.4.1.3 Questions on policy-making in the municipality

2.4.1.3.1 Do you understand the phases in the policy-making process?

All five respondents indicated to the researcher that they were not conversant with the phases in the policy-making process. Two of the respondents regarded this as one of the reasons why human resource provisioning at the municipality was seen as incompetent. This may also have been the reason for human resource personnel not being capable of executing their duties effectively. The five respondents also believed that if the senior managers and councillors were having the interest of the municipality and the community at heart, they would have ensured that every role player in the municipality was capacitated and empowered in order to execute their duties with distinction.

2.4.1.3.2 How do you determine flaws in the policy-making process regarding human resource provisioning?

All the respondents indicated to the researcher that it was very difficult to determine flaws in the policy-making process as stakeholders were not involved in the policy-making processes at the Metsimaholo municipality. The only time when stakeholders were consulted on policy matters was when the senior managers and the councillors wanted the stakeholders in the LLF to rubber-stamp the decisions that they already

had taken. This unsatisfactory situation was that the public, the provincial and national governments could view the actions of the council as effective and that consultation was held with all role players.

2.4.1.3.3 What flaws are there currently in the human resource provisioning policies?

The current flaws in human resource provisioning policies were summarised by the respondents as that existing policies were compiled without proper consultation with employees and there thus was a lack of transparency. Independent inputs by human resource personnel at LLF's were normally discarded. The respondents specifically identified the following flaws:

1. Human resource provisioning policies were not scientifically drafted.
2. Planning for human resource provisioning policies was poorly compiled and therefore poorly executed.
3. No uninformed decisions could be taken by human resources personnel because of the lack of policies and this led to the fragmentation of human resource provisioning activities.
4. The appointment of friends and family members by politicians undermined any policy in existence in the municipality.
5. Decision-making regarding policy matters were normally executed without any inputs from the human resource personnel.

2.4.1.4 Questions on a model for human resource provisioning

2.4.1.4.1 Do you know what to do to change the situation regarding flaws in the current human resource provisioning activities in the municipality?

The Director: Corporate Services and the three human resources personnel members had difficulties in clearly responding to the question. They indicated that they were uncertain with regard to the phases in the policy-making process, and it would have been difficult for them to know exactly what had to be done to change the current situation with regard to flaws in human resource provisioning activities at the Metsimaholo municipality. However, the Director was of the opinion that with proper planning, consultation and engagement with all stakeholders in the relevant forums, like the LLF, the municipality would be able to be proactive and detect flaws early.

2.4.1.4.2 What steps or actions have to be taken to rectify unsound human resource provisioning activities?

The human resource personnel respondents, together with the shop steward, agreed that the municipality had been rendered ineffective because of the appointment and deployment of employees who did not have skills and competencies to execute their duties. The respondents were all in unison on the immediate action step that had to be taken in order to rectify unsound human resource provisioning activities. They indicated the immediate stoppage of deployment of so-called *comrades* without skills, abilities and relevant necessary qualifications. The respondents also indicated to the researcher that immediate and proper planning, consultation and reactivation of debates in the LLF, would start to rectify unsound human resource provisioning activities.

2.4.1.4.3 How can policies be amended to secure sound human resource policies?

The four human resource provisioning personnel members and the shop steward all agreed that the municipality needed a total revamp on how issues pertaining to human resource policies were handled. Proper engagement and discussions within the relevant structures in the municipality had to take place. The most important channel in order to restore and secure sound human resource policies was consultation with all stakeholders in the municipality, and constant debates in the LLF would help the municipality to be able to amend policies, with all stakeholders being able to claim ownership and knowledge of these policies. The shop steward further indicated to the researcher that if the municipality could start to employ qualified and capable people, and start to involve all stakeholders, the municipality would be able to overcome its problems and provide proper and efficient services to the community.

2.4.2 Moqhaka Local Municipality

Currently at Moqhaka municipality, there are only two full time employed personnel, with three casually employed staff members to run the entire municipality's human resource provisioning department. Only the two permanent human resource personnel members (the deputy-manager and the human resource officer) were interviewed as well as one shop steward. The researcher asked the two staff members why such an important function/department in the municipality was understaffed. The respondents indicated that most of the staff members in human resource provisioning were relieved of their duties when the new Council at the Moqhaka municipality took over. The deputy-manager, one of the full time employees that were interviewed further indicated that these personnel members were relieved of the duties due to political interference at the municipality.

2.4.2.1 Questions on human resource provisioning legislation

2.4.2.1.1 Do you understand the relationship between legislation, human resource provisioning and existing policies in the municipality?

The deputy-manager for Corporate Services at Moqhaka municipality stated to the researcher that he understood the relationship between legislation, human resource provisioning and existing policies in the municipality, but this relationship was not taken into consideration when policies are developed. Legislation was only considered as a window-dressing mechanism. Policies were being drafted for the sake of them being there, and for the provincial government to see them, but they were not adhered to. The human resource officer at the municipality concurred with the deputy-manager and further indicated that policies were drafted along legislation, but were left to *gather dust*. Human resources personnel could not contribute to the development and drafting of policies, although they were custodians of human resource policies.

The shop steward for Nehawu stated to the researcher that political pressure had swayed the municipality away from practising what they had included in their policies and what legislation dictated when policies were drafted. Adherence to legislation was done for procedural reasons only and in reality there was no application of policies based on legislation.

2.4.2.1.2 Do you understand the relationship between legislation and existing human resource provisioning policies in the municipality?

The three respondents stated that they fully understood the relationship between legislation and existing human resource provisioning policies in the municipality. Senior managers and councillors however did seemingly not understand this relationship in full. They draft policies according to legislation, but then implemented it to suite their own needs and aspirations.

2.4.2.1.3 Can you give an indication of human resource provisioning policy based on legislation?

The three respondents from Moqhaka municipality indicated the following policies as policies that were based on legislation:

1. Recruitment and selection policy.
2. Skills development policy.
3. Training policy.
4. Transfer policy.

The shop steward, as respondent, stated that although senior managers and councillors knew that human resource provisioning policies had to be based on legislation, they still drafted policies for one purpose alone and that was to execute their political mandate at all cost.

2.4.2.2 Questions based on human resource provisioning

2.4.2.2.1 What comprises the human resource activities in the municipality?

The two permanent human resource personnel at Moqhaka municipality indicated that the following activities formed the crux of human resource provisioning in the Moqhaka municipality:

1. Planning.
2. Recruitment and selection.
3. Appointment of personnel.
4. Placement of redundant personnel.
5. Assistance programmes (pension, medical aid and HIV/Aids).
6. Skills development training.

The shop steward also highlighted the same activities, as highlighted by the two personnel members, but indicated that he only heard about these activities by

reading municipal correspondence and books. He further indicated to the researcher that although he knew about these activities, he wondered whether they were followed to the letter as at the LLF meetings, which scarcely took place, issues were debated randomly, clearly showing that there was no proper planning at the municipality.

2.4.2.2.2 What problems do you experience with planning for human resource provisioning?

The deputy-manager highlighted budgetary problems, lack of proper planning and delegation, deployment of so called 'comrades', political interference and lack of communication and transparency as the problems the human resource-provisioning department experienced with regard to planning for human resource provisioning at Moqhaka municipality. The human resource official stated that the continuous use of casual labour (not permanent labour) and continuous sick and unauthorised leave were the problems that hamper proper planning in the municipality. The shop steward stated that lack of proper planning at the municipality could be attributed to the appointment of staff members to the different positions at the municipality who lacked skills, potential and relevant and basic qualifications to the posts they have been appointed into.

2.4.2.2.3 Does your department undertake job analysis?

The two human resource-provisioning respondents and the shop steward agreed in principle, that undertaking job analysis was difficult tasks and it was also difficult to take staff audits in order to have a clear picture of the duties executed by every staff member. The researcher asked the two respondents (human resource personnel), how the municipality employed staff if the human resource department seemed to be clueless on the status of job analysis at Moqhaka municipality. The two human resource personnel stated to the researcher that job descriptions were looked at only when a post was about to be advertised, but then again to suit the person the council had already decided on and who would be selected. The two human resource personnel members further stated that job analysis was done at a very

slow pace and only when there was a need. At Moqhaka municipality job analysis was not a priority, as most, if not all posts that had to be filled, *comrades* were being deployed into, without exactly knowing what duties they would be executing. Most of the time job descriptions were drafted with the employees having resumed the duties. This status on job analysis was confirmed by the shop steward. The shop steward indicated that issues, such as job-analysis, could not be properly addressed as the LLF, where these issues had to be discussed was not taken seriously by the politicians and the senior managers at the municipality.

2.4.2.2.4 Is the recruitment function in your department effective?

All three the respondents agreed that the human resource function at Moqhaka municipality was not effective. Council politics played a pivotal and major role in employment of staff at the municipality. The human resource department was only effective when it came to the advertised of vacancies in the newspapers, but once again these advertisements, followed by short listings and interviews were window dressing with the decision of who would be appointed already been made before hand. The shop steward also indicated to the researcher that advertisement were put forward and interviews held, to rubber stamp political mandates and deployment of those who were aligned to the ANC.

2.4.2.2.5 Do you experience any problems when it comes to the selection of candidates?

All three the respondents agreed that there would always be problems when it came to the selection of candidates, because vacant posts at the municipality were being filled with employees without skills, competencies and the necessary basic qualifications for the posts they had been appointed to. Appointment standards were normally lowered to accommodate the deployment of political appointments. Political mandates thus superseded skills, abilities, potential and basic qualifications for the posts that were to be filled through selection of candidates.

2.4.2.3 Questions on policy-making in the municipality

2.4.2.3.1 Do you understand the phases in the policy-making process?

Like at the Metsimaholo and Ngwathe municipalities, Mr. Odendaal, Mrs. Selebogo and Mr. Dladla never had a clue on the phases in the policy-making process. This concurred with the researcher's assertion in chapter one that there seemed to be a lack of proper planning in the three Northern Free State municipalities. It is clear that if human resource personnel do not know the phases in the policy-making process, then it is clear that there is no proper planning, if no planning at all, at the Moqhaka municipality and the other two municipalities of Metsimaholo and Ngwathe.

2.4.2.3.2 How do you determine flaws in the policy-making process regarding human resource provisioning?

The two human resource-provisioning personnel and the shop steward indicated to the researcher that it was difficult for them to determine flaws in the policy-making process regarding human resource provisioning, as they were clueless and did not understand the phases in the policy-making process.

2.4.2.3.3 What flaws are there currently in the human resource provisioning policies?

The two human resource respondents indicated the following as the current flaws in the human resource provisioning policies:

1. Non-existence of a promotion policy at the municipality.
2. Non-existence of a transfer policy at the municipality.
3. Presence of a poor under-developed acting policy.
4. No job-analysis policy.

The shop steward was non-committal on the knowledge of flaws in the current human resource provisioning policies, but indicated that flaws might have been caused, if any, by policies that were not informed by the vision and mission of the

municipality, and non-consultation with stakeholders in the proper forums of the municipality, like the LLF.

2.4.2.4 Questions on a model for human resource provisioning

2.4.2.4.1 Do you know what to do to change the situation regarding flaws in the current human resource provisioning activities in the municipality?

The two human resource respondents and the shop steward indicated that it was difficult for them to make recommendations in this regard. They did not know what had to be done to change the situation with regard to flaws that occurred in human resource provisioning activities at Moqhaka municipality. Even if they did not exactly know the phases in the policy-making process, and how to determine flaws at an early stage, the three were of the opinion that proper consultations had to take place at the LLF, strategic workshop sessions on human resource provisioning had to be held and deployment of comrades without skills, potential and basic necessary qualifications for posts had to be stopped with immediate effect.

2.4.2.4.2 What steps or actions have to be taken to rectify unsound human resource provisioning activities?

The deputy-manager for Corporate Services stated to the researcher that shortage of skilled and competent personnel in human resource provisioning was a real problem at Moqhaka. He also indicated to the researcher that in order to overcome this problem, an immediate action was for the municipality to start to employ skilled, competent and qualified people, who were knowledgeable, to the different vacant positions in the municipality without any prejudice. Another step, which both the human resource respondents alluded to as urgent and necessary to save the municipality from operating on skeleton staff in the department (human resource provisioning) was for the politicians (councillors) and senior managers to be reminded about the pledge they took when they assumed office, that they were prepared to serve the municipality with diligence, and to uphold the principles of

Batho Pele and Ubuntu. In so doing, skilled and competent personnel would be appointed and proper and efficient services would be provided to the community. The shop steward also stated that the only necessary step or action that had to be taken to rectify unsound human resource provisioning activities was to get rid of incompetent senior managers and politicians, and to request the urgent attention of the Free State Department of Local Government.

2.4.2.4.3 How can policies be amended to secure sound human resource policies?

The two human resource-provisioning personnel and the shop steward all agreed that the municipality needed a total re-organisation on how issues pertaining to human resource policies were handled. Proper engagement and discussions within the relevant structures in the municipality had to take place. The most important channel in order to restore and secure sound human resource policies was consultation with all stakeholders in the municipality, and constant debates in the LLF would help the municipality to be able to amend policies, with all stakeholders being able to claim ownership and knowledge of these policies. Another point that was highlighted was for the municipality to embark on annual reviews of the policies for possible amendments as laws pertaining to the way municipalities had to be run changes every time. They further indicated that the current debate, as one of the changes to be effected within the municipalities' budgets was the reduction of the salary budget from the threshold of 35% to 28% of the operating budget. Moqhaka municipality knew about this looming change, but nothing had been communicated to staff members, and the necessary step, which was to have a review of job analysis, was not even mentioned in order to make the necessary plan(s) on how to address this issue.

2.4.3 Ngwathe Local Municipality

During the interviews at Ngwathe Local Municipality, five human resources personnel members (respondents) were interviewed. The post titles of the personnel interviewed were the Director: Corporate Services, Senior Manager: Human Resources, Manager: Human Resources, Senior Human Resources Specialist and a union shop steward.

2.4.3.1. Questions on human resource provisioning legislation

2.4.3.1.1 Do you understand the relationship between legislation, human resource provisioning and existing policies in the municipality?

Four out of the five respondents agreed that they fully understood the relationship between legislation, human resource provisioning and existing policies in the municipality. However, a serious problem at the Ngwathe Municipality was that the policies were not aligned with legislation. The shop steward at Ngwathe municipality further stated that at Ngwathe municipality there was no relationship between legislation, human resource provisioning and existing policies. Policies were put into place to suit the needs of the managers and their political bosses and only for procedural reasons. The Director: Corporate Services, of which Human Resources was part indicated to the researcher that she did not know anything with regard to human resource provisioning, as she had been in office for less than three weeks. This supported the argument that appointments were being made without consideration of skills, potential, qualifications and knowledge of the post that had been offered to an applicant.

2.4.3.1.2 Do you understand the relationship between legislation and existing human resource provisioning policies in the municipality?

The four respondents, with the exclusion of the Director: Corporate Services agreed that they knew the relationship between legislation and existing human resource provisioning policies in the municipality, but all agreed in principle that the municipality did not take legislation into account as most of the time; their policies were shaped by political interests and drafted for procedural reasons only. The shop steward also indicated that policies were drafted for procedural reasons and window-dressing and to suit the needs of the managers and politicians.

2.4.3.1.3 Can you give an indication of human resource provisioning policy based on legislation?

Four respondents agreed that the municipality's policies, like the recruitment, selection, training and skills development were based on legislation, but the shop steward disagreed. He stated that nothing with regard to the Ngwathe municipality was based on legislation, yet he fully understood that policies in the municipality should have been based on legislation.

2.4.3.2 Questions on human resource provisioning

2.4.3.2.1 What comprises the human resource activities in the municipality?

All five respondents agreed that human resource activities in the municipality comprised the following activities: Recruitment, selection, planning, training and development. The senior manager for human resources and the shop steward agreed that the main problem laid in recruitment and selecting and that the best candidates were not being selected.

2.4.3.2.2 What problems do you experience with planning for human resource provisioning?

All five respondents agreed that at Ngwathe municipality, the problem they experienced with planning for human resource provisioning was a lack of succession planning. The respondents further indicated to the researcher during the interviews that at Ngwathe municipality, there was no planning, as nothing informed the creation of posts. No work-study was done, and posts were just created for ANC aligned comrades, hence the salary budget at the municipality stood at close to 50%, 15% more than the 35%-37%, as prescribed by the national regulation on municipality's salary budget.

2.4.3.2.3 Does you department undertake job analysis?

Four of the respondents indicated that job analysis was being done at the municipality. However, they further indicated that job analysis was only done as window-dressing. Human resources' hands were tied, as they were not allowed to execute their duties effectively. The shop steward concurred with the four human resources personnel members, and further indicated that there was no planning for job analysis. It was not done, as most of the staff employed at the municipality did not know what to do, and that duties performed by the employees were duplicated.

2.4.3.2.4 Is the recruitment function in your department effective?

All four personnel members agreed that the municipality had a recruitment policy. The policy was more effective for the filling of posts at entry level because this level was not so highly politicised. The sentiments of the four personnel members were also echoed by the shop steward who stated that there was no effective recruitment in human resources due to political interference and deployment. He further indicated that the Provincial Executive Committee of the ANC in the Free State had within its jurisdiction a Deployment Committee. This Deployment Committee was the

one that informed the three Northern Free State municipalities, who had and would be appointed to a specific senior position in the municipalities. This interference by politicians was not only practiced in the three Northern Free State municipalities, but according to him through the whole Free State province.

2.4.3.2.5 Do you experience any problems when it comes to the selection of candidates?

The four personnel members and the shop steward agreed that the municipality was always experiencing problems when it came to the selection of candidates for posts. The senior human resources manager also indicated to the researcher that stipulated requirements as outlined in the advertisements were not adhered to, as most of the applicants did not meet the requirements outlined. Human resources personnel were forced by external pressure (political interference) to lower standards, in total contradiction with the requirements of the posts, to accommodate and ultimately appoint the applicants needed by the politicians. The shop steward stated that Ngwathe municipality would always have problems when it came to the selection of candidates, because the way the municipality employed created problems. Selection did not satisfy anybody and was not based on expertise and capabilities. New employees were being employed without any knowledge and background to the position applied and appointed for.

2.4.3.3 Questions on policy-making in the municipality

2.4.3.3.1 Do you understand the phases in the policy-making process?

The four personnel members and the shop steward all confirmed to the researcher that they did not understand the phases in the policy-making process. The reason for this was seemingly (the senior manager for human resources) that most of the municipality's policies were being drafted by outside agencies, as the municipality had outsourced this service. This was due to a lack of skilled, competent and

capable employees being appointed by the municipality. The agencies that drafted some of the human resource policies were not even briefed about what the municipality expected from them. When the policies were received back from the agencies, they were just passed through by the councillors, without being properly scrutinised by councillors themselves, human resources personnel and all the stakeholders in the municipality. This ignorance clearly indicated that there would always be problems with planning and consultation in the municipality, as the LLF, where issues pertaining to labour were discussed, was always bypassed and ignored by councillors and senior managers.

2.4.3.3.2 How do you determine flaws in the policy-making process regarding human resource provisioning?

The shop steward indicated to the researcher that it was difficult to determine flaws at an earlier time in the policy-making process regarding human resources provisioning, as management always discussed in the LLF only issues they felt suitable for them. Meetings of the LLF did not always take place to discuss issues pertaining to policy-making and other human resource issues, as human resources dealt on daily basis with labour issues. At the Ngwathe municipality, there were always disputes, as management implemented decisions unilaterally. Two of the human resource respondents also indicated to the researcher that it was difficult to determine flaws early, during the policy-making process, as they were not sure about the phases a policy had to go through before being formally approved and implemented. Things were just being done without proper consultation, and this made difficult for human resources to be the real custodians of the human resources provisioning policies. The researcher would like to bring it to the attention of the reader that when the Director: Corporate Services was interviewed, as indicated earlier; she had been clueless on the functions and responsibilities of the human resources department, although she was the appointed direct head.

2.4.3.3.3 What flaws are there currently in the human resource provisioning policies?

The four human resources personnel and the shop steward all agreed that the current flaws with human resource provisioning policies were that every unit within the municipality had its own human resource policy. Policies were, however, not in line with the developments in the municipality and were outdated. The shop steward indicated that, according to him, a serious flaw at the time in human resource provisioning was the lack of alignment of policies with the collective agreement, as outlined in the *Local Government Municipal Structures Act*, 1998 (Act 117 of 1998) and the **LGMSA**.

2.4.3.4 Questions on a model for human resource provisioning

2.4.3.4.1 Do you know what to do to change the situation regarding flaws in the current human resource provisioning activities in the municipality?

The four human resource personnel all agreed that they did not know what had to be done in order to change the situation regarding flaws in the current human resource provisioning activities in the municipality, as the municipality was on the brink of fully outsourcing the drafting of human resource policies and other policies within the municipality. The four personnel members further indicated that they had not been consulted before in the drafting of human resource policies, hence they were not fully conversant with human resource policies. The shop steward also suggested that current management in the municipality should be trained in order to be able to master human resource provisioning activities.

2.4.3.4.2 What steps or actions have to be taken to rectify unsound human resource provisioning activities?

The senior manager for human resources stated that it would be to the advantage of the municipality if human resource provisioning could be outsourced, because this function was not running effectively due to political interference. The four human resource personnel members indicated to the researcher that it was impossible to outline steps or actions to be taken in order to rectify unsound human resource provisioning activities as their inputs and comments were not taken seriously or even considered by the senior managers and the councillors (politicians). The shop steward stated that the only action that had to be taken by the municipality to rectify unsound human resource provisioning activities was for the municipality to go back to the drawing board, and to refine their recruitment and selection policy. The outsourcing of human resource activities should also have been stopped, because agencies did not deal with day-to-day activities of human resources at the municipality.

2.4.3.4.3 How can policies be amended to secure sound human resource policies?

Two of the human resource provisioning personnel and the shop steward stated that the municipality needed a re-organising effort on how issues pertaining to human resource policies were handled. Proper engagement and discussions within the relevant structures in the municipality had to take place. The most important channel in order to restore and secure sound human resource activities and policies was consultation with all stakeholders in the municipality, and constant debates in the LLF would have helped the municipality to be able to amend policies, with all stakeholders being able to claim ownership and knowledge of these policies. The shop steward stated to the researcher that through proper engagement and consultation in the LLF, it could have been possible for policies to be amended in order to secure sound human resource policies as every stakeholder in the

municipality would have been involved. All five the respondents indicated that proper communication and language usage in the municipality had to be corrected to amend the policies. The way in which human resources activities were practiced was unclear, and there was lack of interpretation of these policies due to non-involvement of personnel in the human resource department that dealt directly with human resource issues and who have to be custodians of these policies.

2.5 PROBLEMS IDENTIFIED IN THE THREE MUNICIPALITIES

From the onset it was clear that the three municipalities were highly politicised. All respondents at a given point in time referred to the influence of politics on human resource provisioning activities. Erasmus *et al* (2004:99) state that personnel activities take place in a political environment. They also stated that in practice this means that human resource decisions are affected by the interplay of politics and the issues surrounding the political arena. What is important, however, is to understand the political influences on human resource provisioning and to distinguish between legitimate political demands and potentially illegitimate demands. Legitimate political activities normally lead to sound policies and illegitimate activities lead to the interference of elected officials to functional activities.

In the previous section the researcher mentioned the response of the respondents to give a full picture of the political situation, but in this section he will concentrate on human resource and policy issues although politics, where relevant, will be attended to. The questions asked were based on four categories of questions:

1. Questions on human resource provisioning legislation.
2. Questions on human resource provisioning.
3. Questions on policy-making in the municipality.
4. Questions on a model for human resource provisioning.

2.5.1. Common problems identified with regard to questions on human resource provisioning legislation

The following common problems at the three municipalities with regard to human resource provisioning and legislation were identified:

1. Existing policies were based on legislation, but this was done for procedural reasons only. These policies were not strictly followed because illegitimate influence from politicians, who did not have basic knowledge of human resource provisioning, was the order of the day. This basically meant that the policies were non-existing.
2. Senior managers in all three municipalities worked as teams with the politicians and were, as a matter of fact, also political appointments. They thus did not consider policies on human resource provisioning other than political instruments to reach the political mission of the politicians. They had to ensure that the political mandates they had been given by the politicians were implemented and adherence to human resource provisioning legislation was no priority.

2.5.2 Common problems identified with regard to questions on human resource provisioning

The researcher identified the following problems at the three municipalities with regard to human resource provisioning:

1. There was no proper human resource provisioning **planning** at the three municipalities, as the nucleus of the municipality, the human resource department, was not involved in planning and decision-making.
2. No in depth **job analysis** (job descriptions) activities was on the table and new posts created were not analysed by any specialist section, such as work-study.

3. There was no policy on succession planning, retention of skill and training needs analysis in these municipalities.
4. **Recruitment policies** did exist, but were ineffective, as the council constantly appointed unskilled, incompetent and incapable staff due to deployment and political interference.
5. **Selection** policies did exist in the three municipalities, but they were moderately to severely outdated. The selection of employees was unsatisfactory, but not because of the poor quality of policies alone, but once again due to the influence of political pressure on human resource personnel to recruit and select candidates that were earmarked for specific positions.

2.5.3 Common problems identified with regard to policy-making in the municipality

The researcher identified the following common problems at the three municipalities with regard to policy-making in the municipality:

1. The majority of the human resource personnel did not know the phases in the policy-making process. This was a severe handicap because it rendered the personnel incompetent to address policy-making effectively. For instance, they would not have been able to identify and address problems in human resource provisioning and they would not have been able to address these problems via the policy-making process.
2. Flaws in policies were not determined at an early stage because they were rarely implemented and personnel were not fully aware of their contents. Existing policies were so called *gathering dust on the shelves.*
3. Politicians, senior managers or consultants drafted policies without a sound knowledge of the contents of human resource provisioning which lead to vague policies without procedures on how to implement the policies.
4. Stakeholders who were responsible for the implementation of policies were not consulted when policies were drafted, which put a question mark on the

validity of the policies. This especially was the case with the LLF's of each municipality.

2.5.4 Common problems identified with regard to a model for human resource provisioning

The researcher identified the following common problems with regard to a model for human resource provisioning:

1. The municipality's human resource personnel were not educated to address changes that had to be made regarding current flaws in their human resource provisioning activities. They were not knowledgeable regarding the policy-making process and some of the personnel then regarded policies on human resource provisioning as an unnecessary hindrance. In many instances they ignored policies.
2. Senior managers themselves, based on the information received from the human resource personnel and shop stewards interviewed, were not conversant with legitimate steps, actions, approaches and processes to be followed to rectify unsound human resource provisioning activities. Senior managers had ignored processes, and were only concerned with executing their political mandate; hence it was difficult for the municipalities to amend policies to secure sound human resource policies. The result of this was outdated policies and the non-existence of policies, such as policies on job analysis.

The results of the qualitative research give an indication that the human resource activities and policies in the three municipalities are inadequate. To determine the extent and clarify what the real situation is regarding legislation, human resource activities and policy-making, it is necessary to pay attention to existing knowledge on the issues. This discussion will follow in chapters 3 and 5. This discussion and

explanation of human resource provisioning and policies will give guidelines to what the actual situation is supposed to be.

It is difficult to talk of *grand theories* in human resource provisioning and policies. Erasmus, *et al* (2004:41) state that few areas of research, teaching or writing have evoked as much debate as that which abounds in literature concerning the field of human resource management. Cloete *et al* (2004: 25) state that there is no grand theory on policy-making. The contents of the next 3 chapters can thus not be regarded as grand theories on the subjects, but the results of a culmination of knowledge over the years.

In Chapter 3 the legislative and statutory framework for human resource provisioning will be discussed. The reason for this is that human resource provisioning in the public sector occurs within a definite legislative framework. Legislation directs the activities of human resource personnel in one way or the other (Erasmus, *et al*, 2004: 34). During the qualitative study it was also clear that most of the policies in the three municipalities were not based on legislation.

Erasmus, *et al* (2004:209) further state that legislation and government policy will in future play an increasing important role in the determination of internal recruitment policy, procedures and practices. There are numerous measures prescribed by law to secure sound recruitment, selection, placing and training actions. These laws will be discussed in the next chapter to form the point of departure for the discussion on human resource provisioning and policy.

2.6 CONCLUSION

A pilot study was undertaken in the human resource provisioning departments of the three Northern Free State municipalities. During the pilot study semi-structured interviews were held and a brief period of observations was undertaken to determine the activities of the personnel and some official documents were viewed. The results

of the pilot study indicated that participants saw the human resource departments as the core departments that each municipality must have, and that human resource functions have to be performed professionally to ensure that the best applicants are appointed. This pilot study further determined that human resource activities in the three municipalities were not up to standard and that moderate to severe problems existed. The qualitative research followed the pilot study and the researcher undertook an in depth study of the current situation in the three municipalities regarding human resource provisioning and policies. Qualitative research helped the researcher to reveal the contents of human resource provisioning in the three municipalities. The results of the qualitative research gave a clear indication that the human resource activities and policies in the three municipalities were inadequate. The qualitative study further indicated that there were meaningful, even severe problems regarding the implementation of human resource provisioning activities and policies in the municipalities. Further, during the qualitative study, human resource policies and municipal council and departmental sections minutes were perused. The researcher found out that only the recruitment and selection policies were readily available in the three Northern Free State municipalities, and these recruitment and selection policies were not effectively implemented. The major cause of ineffective implementation of these policies was that the three municipalities were highly politicised.

All respondents during the qualitative study referred to the influence of politics on human resource provisioning activities. Existing policies at the three municipalities were based on legislation, but only for procedural reasons. Senior managers worked as teams with the politicians (municipal councillors) and were, as a matter of fact, political appointments. Worse of all, the researcher found out that human resource departments were not fully involved in planning and no in depth job analysis was on the table.

In order to contextualise the problems identified during the research in the three municipalities, a literature study on sound human resource provisioning has been

undertaken. Chapter 4 provides the content there-of. To determine the extent there-of it is necessary to pay attention to existing theories on the issues. The next Chapter pays attention to the statutory and legislatory framework for human resource provisioning in municipalities.

CHAPTER 3

STATUTORY AND REGULATORY FRAMEWORK FOR HUMAN RESOURCE PROVISIONING IN MUNICIPALITIES

3.1 INTRODUCTION

The aim of this chapter is to analyse the statutory and regulatory framework for human resource provisioning activities, with specific reference to **planning, job analysis, recruitment and selection** in the municipal sphere (local government level). Understanding of statutory and regulatory aspects of human resource provisioning activities is necessary to contextualise this study. Human resource provisioning activities in the municipal sphere can only succeed in reaching its goals, namely to assist in efficient and effective service delivery, if municipalities (as employers) can ensure that its employees understand the statutory and regulatory framework regarding human resources provisioning.

Rule (2000:19) states that in order for public institutions, like municipalities, to function properly and to provide efficient and effective service delivery to the communities, they have to recruit and select competent employees. Such employees must be capacitated to be conversant with the acts and policies in the local government sphere. In this, a human resources department plays an important role and functionaries in these departments should be acquainted with relevant legislation. This is also applicable for the top structures (political and functional) of a municipality.

The SALGA, which represents the interests of local government in the country, states that for municipalities to function effectively its human resources should be effectively managed, and Cloete (1993:81) states that municipalities in South Africa derive their power, functions and duties from acts of parliament and provincial ordinances. Municipalities, however, are allowed considerable freedom to recruit and employ personnel and to lay down the conditions of service of their officials.

Reddy (1996:116) concurs with Cloete (1993) and further states that legislation, or other directives, only prescribe general guidelines on human resources provisioning, which include planning, recruitment and selection.

Chapter ten (10) of the Constitution, Section 195 (1), addresses human resource aspects to an extent. The CCMA and the White Paper on Human Resource Management in the deriving from the Constitution, more specific legislation has been promulgated to give guidelines to address human resource provisioning in public institutions. The following legislation and White Papers are relevant for human resource provisioning:

1. LRA.
2. BCEA.
3. EEA
4. *Skills Development Act*, 1998 (Act 97 of 1998).
5. *Local Government Municipal Structures Act*, 1998 (Act 117 of 1998).
6. *Skills Development Levies Act*, 1999 (Act 9 of 1999).
7. *Local Government Municipal Systems Act*, 2000 (Act 32 of 2000).
8. CCMA.
9. *White paper on Reconstruction and Development of 1994.*
10. *White Paper on the Transformation of the Public Service of 1995.*
11. *White Paper on transforming Service Delivery of 1997.*
12. *White Paper on Public Service Training and Education of 1997.*
13. *White Paper on New Employment Policy for the Public Service of 1997.*
14. *White Paper on Human Resource Management in the Public Service of 1997.*
15. *White Paper on Local Government of 1998.*
16. *Batho Pele Principles of 1998.*

In this chapter, the legislation that has a direct influence on human resource provisioning will be addressed. Other legislation that addresses the issue will also be scrutinised. White papers and legislation will be discussed in order to clarify the

statutory and regulatory framework for human resources provisioning on municipal level. These acts, as mentioned, form the *higher order* guidelines, as derived from the Constitution, for human resource provisioning for all government institutions and are thus the point of departure for a discussion on human resource provisioning and policy in this regard.

3.2 *CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA*, 1996

The primary guidelines on human resource management can be found in the Constitution. Section 27 of the Constitution states that everyone has a right to have access to health care services, including reproductive health care, sufficient food and water, and social security, including, if they are unable to support themselves and their dependents, appropriate social assistance. The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realization of each of these rights, and it is, inter alia, through municipalities and its personnel, that the state can be able to achieve these objectives. However, these personnel members must be competent and capacitated to do their work.

Chapter 10 of the Constitution, Section 195, states that within the public administration, there is a public service for the Republic, which must function, and be structured, in terms of national legislation, and which must loyally execute the lawful policies of the government of the day to address the rights as mentioned in Section 27. Section 195 (1) further states that public administration/institutions must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:

1. A high standard of professional ethics must be promoted and maintained.
2. Efficient, economic and effective use of resources must be promoted.
3. Public administration must be development-oriented.
4. Services must be provided impartially, fairly, equitably and without bias.

5. People's needs must be responded to, and the public must be encouraged to participate in policy-making.
6. Public administration must be accountable.
7. Transparency must be fostered by providing the public with timely, accessible and accurate information.
8. Good human resource management and career-development practices, to maximize human potential, must be cultivated
9. Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.

Local government, as a public institution and an employer, has to conform to the Constitution and the principles stated in it. The last two principles are of specific importance to guide human resource provision activities in government institutions, including municipalities. It is important for ensuring that municipal government employees are conversant with chapter ten (10) of the Constitution. This means that municipal government has to take care that the employees it appoints must be capable of delivering services to its communities and address the rights of the people as stated in Section 27.

Derived from the Constitution are specific acts and policies, addressing human resource activities in government institutions, including the municipal government sphere. Acts and policies, dealing specifically with human resources provisioning in municipalities will be discussed in the next sections to give a clearer view of what legislation determine regarding human resource provisioning. To give the total picture, other legislation and policies that may have an influence on human resource provisioning will also be discussed briefly. As mentioned in the introduction of this Chapter, municipal managers, heads of human resource departments and other employees of municipalities must have knowledge of all human resource legislation in order to create a personnel corps with high moral standards.

3.3 RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP)

The *White Paper on the Reconstruction and Development Programme of 1994*, which was obviously promulgated before the Constitution, refers to the Reconstruction and Development Programme (RDP). This program states that government institutions must pay attention to the following five key aspects:

1. Meeting Basic Needs.
2. Developing Human Resources.
3. Building the Economy.
4. Democratising the State and Society.
5. Implementing the RDP.

The *White Paper on the Reconstruction and Development Programme of 1994,* Section 7.5.10 of the Constitution, further states that in developing the country's human resources, the people will be involved in the decision-making process, and implementation of the programmes of the Reconstruction and Development Programme of 1994 (RDP). This will empower them, but can only succeed if there is also an appropriate education and training programme. Proper recognition of previously disregarded skills and an integrated approach to education and training will make it possible to achieve maximum capacity. Discrimination on grounds of race, class and gender will be abolished and the creative capacity of the society will be unlocked.

The Constitution and RDP laid the foundation for other legislation to follow on human resource provisioning.

3.4 LEGISLATION ON HUMAN RESOURCE PROVISIONING

Legislation that has a direct influence on human resource provisioning will be discussed in the next sections. This will give a better understanding of human resources in general and information might be used in developing a human resource provisioning policy for the Northern Free State municipalities under discussion. The legislation will be discussed chronologically and not according to importance or relevancy.

3.4.1 *Labour Relations Act,* 1995 (Act 66 of 1995)

This Act does not directly address human resource provisioning, but there are specific aspects that should be taken into account when a human resource provisioning policy is developed for a municipality. The human resources section, as part of its daily operations, deals with government employees' wellness, and therefore, it is important for human resources personnel to know the LRA they can be able to handle with great distinction, employees grievances against the employer or amongst themselves. This Act gives an indication of how permanent employees in a municipality should be handled when grievances occur.

The relevance of this Act thus lies therein that human resource personnel in a municipality should know the contents of the Act in order to assist in the minimisation of conflict in the municipality. The contents of the Act should form part of a human resource provisioning policy.

The LRA gives effect to Section 27 of the Constitution, which regulates the organisational rights of trade unions, promotes and facilitates collective bargaining at the workplace and at sectoral level; regulates the right to strike and the recourse to lock-out in conformity with the Constitution; promotes employee participation in decision-making through the establishment of workplace forums. The Act also

provides simple procedures for the resolution of labour disputes through statutory conciliation, mediation and arbitration.

The LRA thus creates a framework in which labour disputes, including disputes about dismissal or appointment of new employees, are to be dealt with (Jordaan & Stelzner, 2001:1). Finnemore & van Rensburg (1999:3) state that the new LRA was approved by the Government of National Unity in 1995, after protracted negotiations in Nedlac (National Economic, Development and Labour Council) between employers and unions. The Act covers all employees in South Africa, excluding the South African National Defence Force, Intelligence and Secret Services, and creates the rights, structures and procedures to be followed regarding labour relations.

Finnemore & van Rensburg (1999:3) state that labour relations are not mainly concerned with strikes. Labour relations also strive with the creation of a stable, ongoing activity at public institutions and private sector organisations in order to secure effective service delivery. Labour relations must, according to the Act, create stability in offices and other workplaces, where on a daily basis, regular contacts, informal discussions and formal procedures are to be in place to solve problems and to pursue agreements on employees' conditions of employment.

Grosset & Venter (1998:2) further state that the Act is an encompassing framework used to describe the dynamic complexities of interpersonal relationships between the various parties (employer and employee) and to establish sound labour relations. It is seen as providing a theoretical and practical framework to regulate and govern not only the relationship between individual employees and employers, but also the relationship between collectives, such as trade unions, employer organisations and the state and individuals, or between one collective body and another.

To secure the afore-mentioned activities, the LRA describes specific guidelines that are applicable to the working environment.

3.4.1.1 Purpose of the LRA

The purposes of the LRA, according to Finnemore & Van Rensburg (1999:5) are to:

1. give effect to the rights and obligations of employees and their unions as well as employers and their organisations in the public and private sectors in accordance with the fundamental rights of the Constitution and international labour guidelines;
2. promote collective bargaining and employee participation at the workplace; and
3. promote dispute resolution in order to establish labour peace.

Van Jaarsveld & Van Eck (1998:45) concurs with Finnemore & Van Rensburg (1999:5) and further state that the purpose of the LRA is to promote the following:

1. Economic development.
2. Social justice.
3. Labour peace.
4. Democratisation of the workplace.

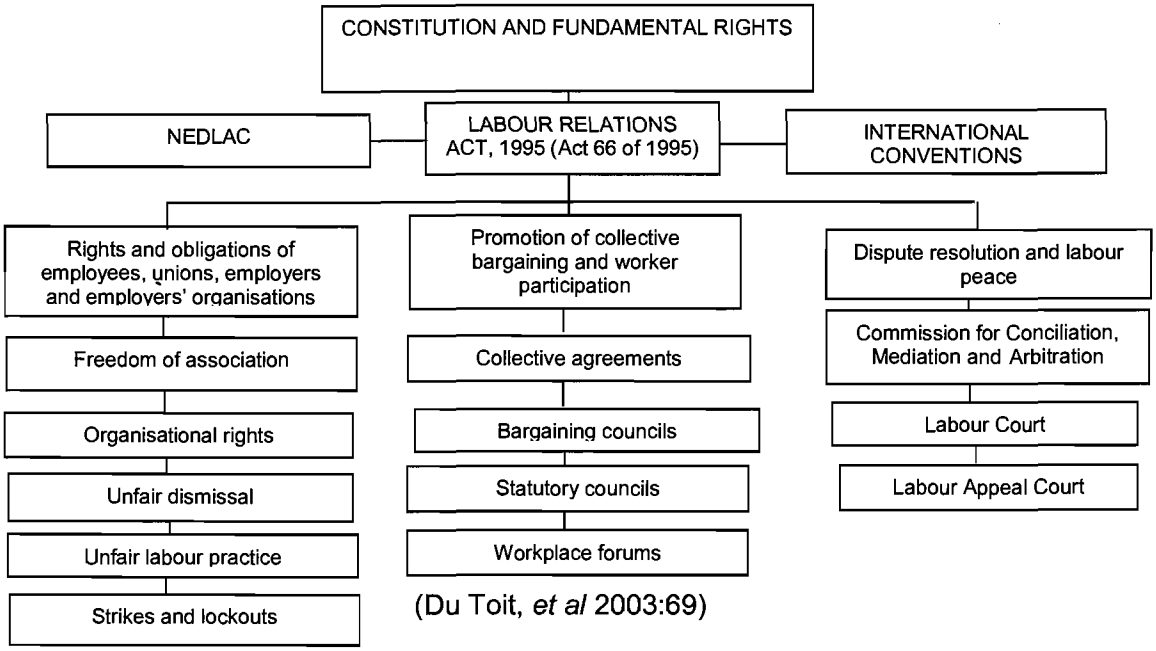
Nel (2002:58) concurs with Van Jaarsveld & van Eck (1998:45) and Storey & Sisson (1993:45) and states that the LRA aims to achieve the following objectives:

1. To realise and regulate the fundamental rights of workers and employers as stated in the Constitution.
2. To execute the labour relation duties of the Republic as a member state of the International Labour Organisation.
3. To provide a framework for trade unions and employees, and employers and their organisations to secure effective labour relations.
4. To promote effective resolutions of labour disputes and establish orderly collective bargaining.

The LRA aims to advance economic development, social justice, labour peace, the democratisation of the workplace and the securing of effective service delivery. The Act provides a framework within which employees and their trade unions, employers and employers' organisations can collectively bargain to determine wages, terms and conditions of employment and other matters of mutual interest (Rudd & van Zyl, 1998:4).

A schematic representation of the components of the LRA may look as follows:

Diagram 3.1: Components of the LRA



(Du Toit, *et al* 2003:69)

For the purpose of the thesis, only the middle leg of the diagram, the LRA, is relevant, as it forms the basis for the promotion of collective bargaining and worker participation in attaining labour peace and reaching binding agreements.

3.4.2 *Basic Conditions of Employment Act*, 1997 (Act 75 of 1997)

Although not directly addressing human resource activities *per se*, this Act should be taken into account when developing a human resource policy for municipalities. The BCEA gives effect to the right to fair labour practices, referred to in Section 23 (1) of the Constitution, by establishing and making provision for the regulation of basic conditions of employment. Thereby employers must comply with the obligations of the Republic of South Africa as a member state of the International Labour Organisation and to provide for matters connected therewith. Nel (2002:86) states that the BCEA became operational on 1 December 1998, thus replacing the old Basic Conditions of Employment Act, 1983 (Act 3 of 1983) (BCEA, 1983) and the Wage Act (Act 5 of 1957).

Finnemore & van der Merwe (1996:149) state that the BCEA, 1983 objective is to regulate minimum conditions of employment for those employees not covered by any other statutes. Du Plessis, *et al* (2001:39) state that the BCEA is of considerable importance for the day-to-day administration of personnel matters, since it sets minimum standards for the protection of employees in the absence of other protective measures.

Du Toit, *et al* (2003:61) state that the BCEA, 1997 contains numerous measures which would increase the cost of labour, for example, the reduction of the working week, increased paid leave, paid family responsibility leave, a longer notice period, and an increased premium for overtime, Sunday work and possibly night work. The Act allows for collective agreements, which provide for extended daily hours, provided that the maximum permissible weekly hours are not exceeded. The Act also provides for employment standards to be varied.

3.4.2.1 Purpose of the Act

The purpose of the BCEA, 1997 is to give effect to and regulate the right to fair labour practices by establishing and enforcing basic conditions of employment and regulating the variation of such conditions (Finnemore, 1998:280).

Storey & Sisson (1993:17) state that provisions are made for the following aspects in the BCEA, 1983:

1. Hours of work, including night work.
2. Overtime and overtime payment.
3. Work on Sundays and public holidays.
4. Contract and termination of employment.
5. Annual sick leave.
6. Maternity leave.
7. Family responsibility leave.
8. Severance pay.
9. Variations of basic conditions of employment.
10. Protection from victimization of workers.
11. Record keeping by the employer.

Bendix (2000:56) concurs with Storey & Sisson (1993:17), and elaborates by adding the following matters, that are covered by the BCEA:

1. Employment of children under the age of 15.
2. Deductions from wages and salaries.
3. Payment of wages and salaries.
4. Working hours, meal intervals and rest periods.

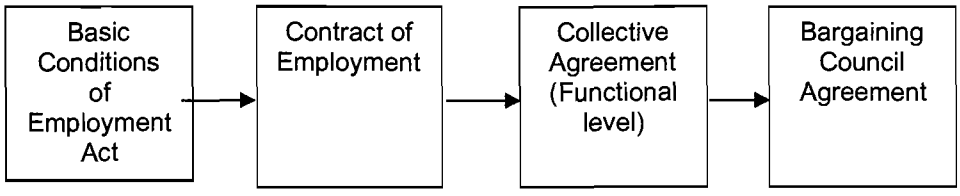
Du Plessis, *et al* (2001:40) state that the aim of the BCEA, 1997 is to –

1. give effect to and regulate the right to fair labour practices as contained in Section 23(1) of the Constitution;
2. give effect to obligations incurred by the Republic of South Africa as a member state of the International Labour Organisation;
3. ensure that working conditions of unorganised and vulnerable workers meet minimum standards that are socially acceptable in relation to the level of development of the country; and
4. remove rigidities and inefficiencies from the regulation of minimum conditions of employment and promote flexibilities.

Du Plessis, *et al* (2001:40), further state that the aim of the BCEA is to advance economic development and social justice by establishing and enforcing basic conditions of employment, regulating the variation of basic conditions of employment and giving effect to the obligations incurred by South Africa as a member state of the International Labour Organisation.

Todd (2001:9) states that the regulation of substantive conditions of employment entails the knowledge of the BCA, 1997, the contract(s) of employment, collective agreement at functional level and the bargaining council agreement, with the sequence of events illustrated by the diagram below:

Diagram 3.2: Sequence of events in the bargaining council agreement



The BCEA, 1997 sets minimum standards for contracts of employment (between an employer and an employee); in both the public sector (local government included) and the private sector (Todd, 2001:7).

3.4.2.2 An employee under the BCEA, 1997

Section 83A of the BCEA, 1997 according to Du Toit, *et al*, (2003:483) provides that anyone who works for, or renders service to, any other person is presumed, until the contrary is provided, to be an employee, regardless of the form of the contract, if one or more of the following factors is present:

1. The manner in which the person works is subject to the control or direction of another person.
2. The person's hours of work are subject to the control or direction of another person.
3. In the case of a person who works for an organisation, the person is part of that organization.
4. The person has worked for that other person for an average of at least 40 hours per month over the last three months.
5. The person is economically dependent on the other person for whom that person works or renders services.
6. The person only works for or renders services to one person.

Part-time employees, seasonal employees and temporarily employed workers are, for the first time, now protected by the BCEA, 1997 (Du Toit, *et al*, 2003:483-484).

The stipulations of this Act should be built into a human resource policy and should be taken into account when new employees are recruited and selected.

3.4.3 *Employment Equity Act*, 1998 (Act 55 of 1998)

The EEA was promulgated in 1999, and the focus of the Act is the eradication of unfair discrimination in any form of hiring, promotion, training, pay, benefits and retrenchments in public institutions and private organizations. It furthermore outlines measures to encourage employers to undertake organizational transformation and to speed up the appointment, training and promotion of individuals from historically and previously disadvantaged groups (Nel, 2002:96).

Finnemore & Van Rensburg (1999:223) state that the EEA is a broad statute with the overall objective of achieving equity in employment through promoting equal opportunities and implementing affirmative action to redress disadvantages experienced by people from designated groups. The Act further determines that efficient and careful selection procedures, which should result in better matching of available posts and employees, should be developed.

The EEA has as point of departure the eradication of the legacy of systematic discrimination that has characterized the labour market for many decades in South Africa. It also seeks to correct the deeply embedded demographic imbalances in South African workplaces, including municipalities (Du Toit, *et al*, 2003:36). This Act thus forms a broad framework to secure affirmative action in, inter alia, municipalities. An employment equity policy or plan is compulsory for every municipality and the contents of this plan or policy is of vital importance for a human resource provisioning policy. It normally does not form part of the human resource provisioning policy, but the guidelines of the Act should be taken into account when a human resource provisioning policy is developed.

The objectives of the EEA will shed more light on its influence on human resource provisioning.

3.4.3.1 Objectives of the EEA

Du Plessis, Fouche & Van Wyk (2001:90) state that the objectives of the EEA are, inter alia, to –

1. ensure that all employers (including municipalities) take steps to end unfair discrimination in their employment policies and practices;
2. that designated employers prepare and implement employment equity plans;
3. that designated employers take measures to progressively reduce disproportionate income differentials;
4. ensure that designated employers report to the Department of Labour on their implementation and progress of employment equity; and
5. that any institution/organisation/employer who intends to contract with the state must comply with the employment equity obligations.

These objectives state clearly that any municipality should take the human resource provisioning function seriously. Bendix (2000:89) states that the recruitment, selection and promotion activities of a municipality must be proven to be valid and not to discriminate against any group. Should this not be the case, it may be alleged that the recruitment, selection or promotion was biased towards a particular group. Finnemore & van Rensburg (1999:402) state that, when appointing employees, a prospective employee is deemed suitably for appointment or promotion if he/she has the ability to do the job, measured against the following criteria:

1. If he/she has formal qualifications.
2. If he/she has prior learning experience.
3. If he/she has relevant experience.
4. If he/she has the capacity to acquire, within a reasonable time, the ability to do the job.

These criteria must form part of a human resource provisioning policy and will act as guidelines when a person is recruited and appointed. Specific phases guide municipalities on the implementation of the Act.

3.4.3.2 Phases of the implementation of the EEA

In order to implement the EEA, the following phases must be undertaken:

1. Phase 1: Employment equity visioning.
2. Phase 2: Employment equity analysis.
3. Phase 3: Employment equity policy and strategic planning.
4. Phase 4: Implementation.
5. Phase 5: Monitoring and maintenance of the equity processes.

These phases are discussed below because it is important for municipalities to take note of this in planning and developing their human resources policies.

Phase 1: Employment equity visioning

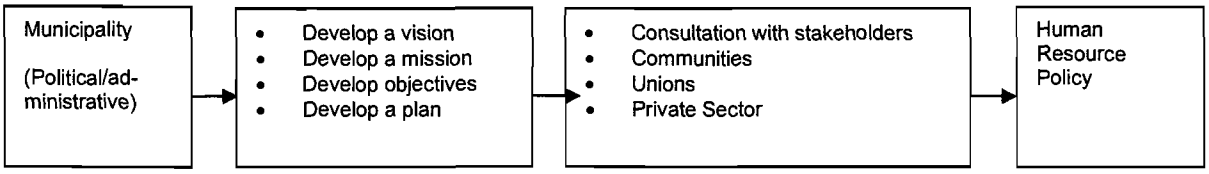
Finnemore & van Rensburg (1999:406) state that it is standard practice for any planning activity (or strategic project) to develop a vision for the future. This vision should motivate direction and evoke a positive response to the future. Employment equity visioning is characterized by the following actions:

1. Develop an employment equity plan.
2. Develop a strategic vision, mission and objectives for the organization/ municipality.
3. Begin consultation with key stakeholder groups, e.g. unions, the private sector and communities.
4. Establish a consultative structure such as an Employment Equity Committee (EEC) within the organisation/municipality.

5. Communicate the organisation/municipality's intent, vision, mission and objectives to the stakeholders.

Diagram 3.3 below illustrates Phase 1 of employment equity visioning:

Diagram 3.3: Illustration of Phase 1, Employment equity visioning



Adapted from the EEA.

Phase 2: Employment equity analysis

The primary objective of employment equity analysis is to see whether a municipality adheres to the EEA requirements. The analysis helps to quantify the current situation within a municipality and to identify any discriminatory practices, policies and processes. The analysis also establishes a baseline from which to measure progress regarding the afore-mentioned aspects. This phase is characterized by the following actions (Amos, *et al*, 2004:266):

1. Investigate the workforce composition, by looking at the workforce profile, job group profile, availability profile and job transaction profile.
2. Perception audits must be undertaken. Such perceptions should be treated as a potential risk area that needs to be managed. Perceptions can be assessed in a qualitative and/or quantitative manner.
3. Feedback must be given to all stakeholders, such as employees, unions and the community.

This means that an *audit* if the personnel situation must be undertaken and that statistics must be given of the composition of the total workforce. The moment this process has started the personnel will find themselves in a position of uncertainty and/or expectancy. The main question will be how this exercise will have an effect on *me* as a person (McGoldrick, 1996:163)). In every *audit*, corporate governance principles thus indicate that transparency and full disclosure be advocated. All the positive and negative results should be presented in a managed way to staff at all levels. It may be useful to present the results initially to senior management and the EEC and then to the staff. This will enable the municipality to make recommendations for a way forward with the knowledge that all employees know what to expect from the new developments (Finnemore & van Rensburg, 1999:409).

With this analysis as background, an equity policy, strategy and plan can be developed.

Phase 3: Employment equity policy and strategic planning

Amos, *et al*, (2004:280) state that a policy should be developed by an EEC, consisting of human resources personnel and unions, through a series of workshops, and this policy should include the following aspects:

4. A statement of intent to address equity.
5. A description of what employment equity means to the organization/municipality.
6. Reasons why the organisation/municipality is implementing employment equity.
7. Objectives of an employment equity initiative in the organisation/institution.
8. Roles and responsibilities of all involved in employment equity initiatives.
9. How employment equity initiatives will be monitored and evaluated.

Strategic planning is the process of reconciling the organisation's resources (internal environment) with threats and opportunities caused by changes in the external environment. The policy must lay down the guidelines for a municipality to secure a plan of action that should be followed in addressing employment equity. The above-mentioned actions (*steps*) will give a clear indication of addressing employment equity. Once these steps are clear the Employment Equity Plan can be implemented.

Phase 4: Implementation

Du Toit, *et al* (2003:41) state that this phase is about implementing employment equity plan. During this stage, the following should be taken into account:

1. Make inroads on recruiting individuals from designated groups where positions cannot be filled internally.
2. Assess internal potential, develop and promote from within.
3. Drive the employment equity initiatives at the hand of project management principles.
4. Allocate sufficient resources to develop and implement the employment equity plan.
5. Clarify roles and responsibilities and make individuals accountable for specific tasks and outputs.

Critical to achieving the desired results is the knowledge that every organization/municipality is different from any other. Each organization/municipality will need to assess its own requirements and context to design the most appropriate employment equity process to implement the plan (Rule, 2000:65).

Monitoring and maintenance of the equity process is discussed next.

Phase 5: Monitoring and maintenance of the equity process

Monitoring refers to the reviewing and evaluation of performance in order to ensure that there is feedback from assessment into the corporate and business plans of the institution. The key during monitoring and maintenance phase is for an equity plan to add value to employment equity performance. Monitoring is the process that supports the age-old saying: "What gets measured gets done". Examples of key areas that will need to be monitored include (Bendix 2000:109) –

1. recruitment; it is a search for and obtaining potential job candidates in sufficient numbers and quality so that the municipality can select the most appropriate people to fill its job needs;
2. promotions; it is the alleviation of a municipality's existing employees to higher post levels within the organization;
3. training and development expenditure; it is the total amount of money budgeted and allocated for training and development of employees within a municipality;
4. candidates for succession; these are candidates earmarked by a municipality to succeed employees within, who are about to retire or who have indicated that they would be leaving the organization;
5. competencies evaluation; these are skills that each and every employee has or has demonstrated in the municipality;
6. affirmative procurement; it refers to specific steps, beyond ending discriminatory practices that are taken to promote equal opportunity and to ensure that discrimination will not recur;
7. grievance and disciplinary cases; this is the procedure set in place in a municipality for employees to know the channels to be followed in order to lay their grievances and how disciplinary actions are to be handled;
8. performance management; it is a formal, and systematic process by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and develop; and

9. incentives and rewards; incentives and rewards are given by the municipality to its employees in recognition of the employees performance.

McGoldrick (1996:181) indicates that the employer's employment equity plan must be measured against; inter alia, the following criteria:

1. The extent to which suitably qualified people from designated groups are equitably represented within each occupational category and level in that employer's workforce.
2. Progress made (benchmarking) in implementing employment equity by other designated employers.
3. Reasonable effort made by a designated employer to complement its employment equity plan.
4. Extent of eliminating employment barriers that adversely affect people from designated groups.

The actual implementation of the plan is a process on its own and is the responsibility of the municipality.

3.5 WHITE PAPERS ON HUMAN RESOURCE ACTIVITIES

White Papers do not have any legal status but they, however, serve as a broad policy background. The only way in which the requirements in white papers can be mandatory is when they are included as prescriptions in legislation. White papers can help to understand the direction of thinking of the government (Erasmus et al, 2005:209).

Several white papers address issues on human resource provisioning. The contents of these white papers will be discussed next.

3.5.1 *White Paper on Human Resource Management in the Public Service,* 1997

The *White Paper on Human Resource Management in the Public Service*, 1997 states in Chapter four that the Public Service, like all other employers, is bound by the LRA. The LRA establishes the principle of employment justice, which protects employees (and applicants for employment) from any unfairness in their relationship with their employers. It also states that the Public Service must comply with all other employment statutes, such as the Occupational Health and Safety Act of 1995, the EEA, the BCEA, 1997 and the Skills Development Strategy.

The White Paper, 1997 constitutes that the Public Sector will continue to be staffed mainly by career employees who will be provided with opportunities for professional advancement and personal development. However, open competition and more innovative recruitment practices will open the Public Sector up to a far wider pool of talent and ensure the inclusion of all sections of society. Fresh skills will be more easily absorbed, and operational requirements more efficiently and effectively managed through the use of fixed-term contracts, and the increased use of part-time employment and more flexible working patters.

The White Paper, 1997 also states that in future promotion will be achieved only by those who can demonstrate, through competition with others, that they are the most suitable candidates for the positions in question. Greater transparency and more competent and accountable management of human resources will mean that it will no longer be possible to manipulate employment criteria such as qualifications, health requirements, probation, temporary employment, and ill-health retirements, to restrict the careers of those from disadvantaged groups, and to avoid dealing with poor performers.

3.5.1.1 Purpose of the White Paper, 1997

The purpose of this White Paper, 1997 is to provide a policy framework that will facilitate the development of human resource management practices that support an effective and efficient Public Sector, geared for economic and social transformation. Human resource management is therefore regarded by the Paper as one of the strategic instruments of the transformation agenda for the Public Sector. The Paper does not cover other aspects such as labour relations, remuneration, general conditions of service and training.

The policies set out in the White Paper will apply only to national departments, provincial administrations, and to other institutions covered by the Public Service Act of 1994. However, the values underpinned in these policies and their application should be a model for emulation by other sectors. Chapter two of the White Paper sets out the vision, mission and values that underpin human resource management in the Public Sector. Chapter three of the White Paper, 1997 describes the need for a fundamental change in the human resource management culture within the Public Sector. The White paper on human resource planning (3.5.2), recruitment (3.5.3) and selection (3.5.4), discussed below, are sections taken from the White Paper on Human Resource Management in the Public Service of 1997.

3.5.2 *White Paper on Human Resource Planning*, 1997

The *White Paper on Human Resource Planning*, 1997 states that human resource planning is essential in order to ensure that an organisation's human resources are capable of meeting its operational objectives. Human resource planning ensures that an organization –

1. Obtains the quality and quantity of staff it requires.
2. Makes the optimum use of its human resources.
3. Is able to anticipate and manage surpluses and shortages of staff.

4. Develops a multi-skilled, representative and flexible workforce, which enables the organization to adapt rapidly to a changing operational environment.

Human resource planning consists of three main steps (*White Paper on Human Resource Planning*, 1997):

1. An assessment of the human resources that will be required to deliver the operational objectives in the organisation's strategic plan.
2. An assessment of the organisation's existing human resource capacity.
3. A plan for how the gap between existing human resource capacity and the future human resource requirement will be filled, within the financial resources available.

The *White Paper on New Employment Policy for the Public Service*, 1997 (Human Resource Planning section) states that particular attention should be paid to the need to plan for the filling of positions which, by virtue of their specialist nature, or their importance within the organization, are keys to the organisation's effectiveness. These positions should be identified separately, and measures should be taken to ascertain likely future vacancy patterns and potential sources of labour supply, both within and outside the Public Service, which can be tapped quickly when the need arises. Having identified the *GAP* between future requirements and existing capacity, a strategy will then be devised to enable the organization to meet its human resource needs. A critical factor in devising the strategy will be the financial resources available.

Strategies will therefore be developed within the overall budgeting process which are likely to be wide-ranging, including, for example, organisational redesign, process re-engineering and outsourcing, as well as standard human resource management instruments such as recruitment, training, promotion, redeployment, career management and, where necessary, staff reductions. The strategy will also have to take account of prevailing labour market conditions. Once drawn up, the human

resource strategy will drive all human resource management activities. Its effectiveness will depend, however, on its continuing relevance in the light of experience, and it will therefore need to be supported by human resource management information systems that provide accurate and timely information on how the strategy is operating in practice.

In the past (according to the *White Paper on Human Resources in the Public Service*, 1997) the closed career system, together with restrictive position requirements, preferential promotion arrangements and sub-optional reporting systems have combined to restrict not only the opportunities of outside candidates, but also opportunities for employees within the Public Service. In order to redress these failings, the principle of competition will be introduced for the filling of positions within the Public Service. Competition will help to –

1. identify the most suitable person for the job from the widest possible pool of talent from within and outside the Public Sector;
2. make the Public Service more accessible to all sections of society;
3. achieve employment equity; and
4. provide equal opportunities for advancement for people within the Public Service.

For practical purposes, competition may be divided into three categories, and these categories are illustrated in Table 3.1.

Table 3.1: Categories of the division of competition

Category	Explanation
Open	Positions advertised nationally and open both to employees and external applicants
Targeted	Positions advertised within a defined target area (e.g. a specific geographical area s as the Free State Province) or within a defined group (e.g. mining sector), and ope both employees and external applicants. Advertisements must be clear when this typ competition is resorted to and must not be abused to undermine the recruitment polic
Internal	Positions, advertised within a department/ administration where expertise is available within the Public Service, or positions between levels 1 and 3, where advance of existing employees is important to increase representivity.

(Du Toit, *et al*, 2003:88)

Whatever the method of competition, it must be consistent with the principles of accessibility and the values in this White Paper and should not in any way undermine the recruitment policy. National departments' and provincial administrations' human resource management policies should define clearly which positions will be filled by open, targeted and internal competition, and the rationale for this.

The *White Paper on Recruitment*, 1997 is discussed next.

3.5.3 *White Paper on Recruitment,* 1997

Recruitment is not only one of the most important ways in which the Public Sector meets its human resource capacity requirements, it is also the prime instrument for achieving employment equity, by opening up the Public Service to all sections of society. Municipalities, in drawing up their recruitment policies and procedures, should therefore set targets for achieving specified employment equity objectives, and in particular for achieving race, gender and disability balance, as well as for achieving the skills necessary to meet the departments' operational needs. Identifying and attracting suitable applicants depends on the effectiveness of departmental advertising, both in terms of the substance of the advertisement and the extent to which it reaches the target audience. In drawing up advertisements, the following principles should be applied:

1. The advertisement should include an accurate description of the duties to be undertaken, and the criteria that will be applied in selection.
2. Qualifications should not be defined primarily or solely in terms of educational attainment, but should, for example, include skills and relevant experience. If educational requirements are essential, these should be set at such levels that balance the need for competence with the goal of accessibility. However,

qualifications, which are prescribed, should be stated in the advertisement, for example in the case of medical practitioners.

3. The advertisement should make it clear that the Public Sector is committed to employment equity, and that applications from Blacks, women and the disabled will be encouraged.
4. The language and style of the advertisement should be clear and simple, and be such as to attract candidates from all sections of the target group, particularly those whom the Public Sector wishes to attract in order to achieve employment equity.
5. Advertising should be designed to reach the widest possible number of people within all the target groups in the most cost-effective manner. New and innovative methods of advertising should be explored to reach those unlikely to respond to traditional methods such as newspaper advertisements.
6. The effectiveness of advertising campaigns should be reviewed from time to time in order to improve future recruitment efforts.
7. The requirement for additional health or security clearances, where these are justified by the inherent nature of the work, should be clearly stated in the advertisement.
8. Advertisement for targeted competition must provide reasons that are consistent with the purpose of this White Paper.

In addition to suitability for the job, there are certain minimum requirements for employment in the Public Sector, and these minimum requirements are illustrated in Table 3.2.

Table 3.2: Requirements for employment in the Public Service

Requirement	Explanation
Citizenship	Employment in the Public Service will normally be for South African citizens, including those who have legally acquired citizenship. Non-South African citizens may be employed on fixed term contracts for up to a maximum of five years. Extensions of contracts beyond 5 years may be agreed upon with the prior approval of the head of department.
Age	Employment in the Public Service is open to anyone between the ages of of sixteen and sixty.
Health	Health requirements should relate solely to the inherent nature of the duties to be undertaken. No pre-employment health checks will be undertaken unless the inherent requirements of the job call for particular physical attributes. However, employees should take responsibility for providing information in the interest of good management and their welfare. Particular care should be exercised, however, to ensure that disabled applicants are not discriminated against simply because the organization lacks facilities and reasonable steps should be taken to accommodate them. Where particular health or physical physical requirements are essential for the performance of the job, these should be clearly stated in the advertisement. Employees whose services were terminated due to ill-health will have to undergo a medical examination, irrespective of the nature of the job, as a pre-condition to re-appointment in the Public Service.
Good character	Applicants for employment should be of good character, law abiding and prepared to conform with the high standards of conduct required by the Code of Conduct for Public Servants. This is essential to protect the public interest. Potential employees may therefore be required to provide information about past convictions or misdemeanours which could have a bearing on their suitability for employment in the Public Service. However, such incidents will not necessarily be a bar to employment if it can be demonstrated that the nature of the incident poses no threat to the public interest, or the incident was sufficiently long ago, and the person's subsequent behaviour indicates that he or she is now rehabilitated.
Security Clearance	Candidates for certain positions which deal with sensitive information which needs to be protected in the interest of the security of the state may be subjected to information which needs to be protected in the interests of the security clearance. Where security clearance is a requirement of the position, this should be clearly stated in the advertisement.

(Du Toit, *et al*, 2003:92)

The contents of this White Paper are important and should be taken up in a human resource provisioning. It gives guidelines on, inter alia, recruitment and appointments and indicates clearly what the abilities to which an applicant must adhere to in order to fill a vacancy successfully.

3.5.4 *White Paper on Selection*, 1997

Selection on merit is fundamental to ensuring that the Public Sector recruits and promotes people of the highest calibre. The aim is to ensure that the person selected is the person best suited for the position, on the basis of his her skills, experience, abilities, personal attributes, future potential as well as the need to achieve a representative and a diverse workforce in the Public Sector. Unfortunately, the principle of selection on merit has been eroded and misused in the past by drawing up narrow, exclusive position requirements which discriminated both against external candidates and against certain groups of internal candidates, to the detriment of the quality of human resource capacity within the Public Sector, according to the White Paper on Human Resources in the Public Sector, 1997.

The *White Paper on Human Resources*, 1997, further states that in drawing up their selection procedures, whether for recruitment or for promotion, government institutions should apply the following basic principles:

1. **Job-related selection criteria**

   The criteria on which selection is made should relate only to the inherent requirements of the duties to be undertaken. They should, however, take account of the wide variety of ways in which suitability can be assessed, including competencies acquired through previous experience or training, and demonstrable interpersonal skills, decision-making capacity and learning potential are all equally important. Educational qualifications should not, alone, predetermine suitability. The criteria should not be used to undermine the goal of achieving representation and advancement of previously disadvantaged groups.

2. Fairness

The process of selection should not discriminate against external and/or internal applicants, or against any applicant on the grounds of race, colour, gender, disability, age, religion, belief, culture, marital status, sexual orientation, pregnancy, domestic circumstances or any arbitrary criteria.

3. Equity

All candidates should be measured against the same objective criteria with due regard to the need for diversity and the representativeness of the Public Sector. Such criteria should be drawn up in writing in advance of the selection process. A minimum of three people should undertake the selection, including a chairperson who is responsible for ensuring fairness and objectivity. All applicants for a particular post should be assessed by the same selection panel and on the same criteria. The normal selection procedure should comprise of an interview, on the basis of a written application. If the number of applicants is too big to undertake the required pre-interviews short-listing, written criteria should be drawn up in advance, in order to be able to interview the candidates.

4. Transparency

Written records, which should be easily accessible, must be kept of the criteria used in selecting interviewers, the selection criteria applied, and of the assessment markings of individual candidates, as well as the basis for the decision, in order to be able to demonstrate that the process was fair and open.

It is clear from the above discussions that a human resources policy must always encompass legislation affecting both the employer and the employees. A

municipality, with a clear human resource provisioning policy, drafted in line with legislation and based on theoretical principles, will be able to undertake human resource provisioning activities in an effective manner.

With the correct utilisation of the guidelines and with the discussion of legislation in mind, a municipality will be able to develop a sound policy for human resource provisioning. This will lead to the combating of unfair discrimination and inequality and unfair recruit and select procedures. A sound human resource provisioning policy will also lead to the appointment of efficient staff that will be able to provide services of high standard to communities. The qualitative study revealed that this is a severe problem that needs attention in the three municipalities. The knowledge presented in the next chapter will therefore give the three municipalities a clear indication of the contents of human resource provisioning activities.

As mentioned, it should be kept in mind that no one specific theory on human resource provisioning exists. Various individuals, groups and disciplines contribute to the development of a body of knowledge on the subject. These contributions offer a distinct and variety of ideas about the way in which the human resource activities should function (Erasmus, 2005:41). Andrews (1987:16-22) describes these activities or functions as human resource planning, job analysis, recruitment and selection. This approach will also be followed in the next chapter in describing the contents of human resource provisioning.

The researcher is fully aware of other relevant legislation on the municipal government sphere of South Africa to facilitate good governance to the country's citizens. Some of the legislation that is relevant to this thesis, but was never analysed by the researcher is the LGMSA, which requires that there must be an administration in every proclaimed municipality to see to the effective and efficient public administration and promotion of the social and economic development of specific geographical areas of jurisdiction. *Local Government Municipal Structures Act*, 1998 (Act 117 of 1998), amended in 1999 and 2000, defined new institutional

arrangements and new administrative systems. This Structures Act lays the foundation for the local government performance management system. Section 82 of this Act provides that a municipal council must appoint a municipal manager, and when necessary, an acting municipal manager. The manager will obviously head the administration of a municipality even where it has an executive major.

3.6 CONCLUSION

An analysis of legislation, which addresses human resources provisioning, has been undertaken. Without the knowledge or understanding of such legislation a municipality will be unable to plan, recruit and select efficient, effective, capable and potential employees in order to provide effective services to the communities. It will also not be possible to develop a policy on human resource provisioning without this knowledge.

It has been indicated that for municipalities to plan for human resource provisioning, Chapter ten of the Constitution must be recognised as point of departure. Chapter ten of the Constitution states that the Public Service/Administration must function and be structured in terms of national legislation and must loyally execute the lawful policies of the government of the day and that good human resource management and career-development practices, to maximise human potential, must be cultivated. The EEA strives for the eradication of unfair discrimination in any form of hiring, promotion, training, pay, benefits and retrenchments in public institutions and private organisations.

The BCEA gives effect to the right to fair labour practices referred to in section 23(1) of the Constitution, by establishing and making provision for the regulation of basic conditions of employment, and thereby to comply with the obligations of the Republic of South Africa as a member state of the International Labour Organisation. The LRA gives effect to section 27 of the Constitution, regulates the organizational rights of trade unions, promotes and facilitates collective bargaining

at the workplace and at sectoral level, and creates a framework in which labour disputes are dealt with.

The *White Paper on Human Resources Management in the Public Sector*, 1997 and other White Papers mentioned in this Chapter, set the tone for the public and private sector to adhere to the national policies on planning, recruitment and selection of employees, who are knowledgeable and conversant with the vision, mission and objectives of municipalities, as the sphere of government which is at the grassroots level, closest to the people.

The knowledge gained from studying relevant legislation is important for the development of a human resource provisioning policy. Guidelines presented in legislation, along with theoretical principles, must form the foundation of such a policy. The guidelines set out in the discussed legislation in this Chapter will be interwoven with the policy to be developed.

In order to contextualise the problems being identified during the research in the three municipalities, a literature study on sound human resource provisioning has been undertaken. Chapter 4 provides the content there-of.

CHAPTER 4

CONTENTS OF HUMAN RESOURCE PROVISIONING

4.1 INTRODUCTION

An analysis of human resource provisioning has been undertaken, for the purpose of this thesis, been demarcated into **planning, job analysis, recruitment and selection.** The placement, training, development of personnel and other personnel activities do not form part of this study. This will only come into play when all the provisioning functions have been established effectively.

Human resource planning (HRP) (the first step) is an attempt to forecast how many and what kind of employees will be required in the future, and to what extent this demand is likely to be met. Effective HRP should result in the right people doing the right tasks in the right place at the right time. Human resource planning needs continuous readjustments, because the goals of an institution are unstable and the environment influences are never certain (Cereillo, 1991:145).

Job analysis (step two) has to do with the analysis of the tasks, duties and responsibilities of a specific position. It is thus an analysis of the contents of a specific position or vacancy. The contents of the job may change over time and it could therefore affect the job specification. This means that a specific position can be upgraded or downgraded, which will have an influence on recruiting the right person for the position.

Recruitment (step three) strives to obtain the smallest number of candidates who appear to be capable of performing the required tasks of a specific job, or who seemingly have the ability to do so within a period of time acceptable to the employing institution. Efficient recruitment may be described as knowing what

human resources the institution wants, what human resources are available and where and how they may be found.

Graham & Bennet (1995:177) sum up the afore-mentioned and state that recruitment is theoretically the first part of the process of filling a vacancy, but it includes an analysis of the tasks to be done (job-description), determining of a profile of the incumbent who must fill the post, the consideration of recruitment sources where the vacancy will be advertised and short listings and final selection of suitable candidate(s) will be made from the list of applications received.

Farnham & Horton (1996:201) state that, unlike in the Civil Service, no generic national system of personnel provisioning to fill vacancies on municipal sphere exists. Each municipality is an independent employer and normally follows its own policies when recruiting persons to fill vacancies. It is therefore possible and relevant to develop a human resource provisioning policy that is applicable for municipalities, such as the three municipalities in the Northern Free State.

4.2 ANALYSIS OF THE HUMAN RESOURCE PROVISIONING FUNCTION

Human resource provisioning can, as mentioned, be demarcated into four elements, namely human resource planning, job analysis, recruitment and selection (Botes, 1978:41-42). An analysis of these aspects will give an insight and theoretical framework on human resource provisioning. One must remember that the indiscriminate implementation of these elements will lead to the increasing numbers of personnel as well as people who will find them in positions that they cannot effectively manage.

The mentioned elements will also form, to a large extent, the crux of the contents of the policy that will be developed for human resource provisioning for the three municipalities under discussion. Each of the four elements will be discussed next to

determine the contents thereof and to establish which data should form part of the human resource provisioning policy.

4.3 PLANNING FOR HUMAN RESOURCE PROVISIONING

Amos, Ristow & Ristow (2004:25) state that planning for human resource provisioning is about –

1. knowing now and planning for the future the scope and nature of the work that needs to be done;
2. the jobs that need to be filled;
3. the number of staff required to do the work; and
4. the competencies of personnel and the availability of the required staff in the labour market.

Erasmus *et al* (2005:126-127) state that planning for human resource provisioning implies that human resources must be dealt with as an integral part of a public sector institution's, such as a municipality, corporate strategic planning process. The employees who are involved in planning for human resource provisioning in a municipality must have a proper understanding of the overall corporate and human resource strategic plan, vision, mission, objectives, values, and the way that the environmental factors influence the process. There must be a definite link between corporate and business planning and human resource provisioning planning. Human resource provisioning planning is a continuous process that must constantly be adapted as circumstances change within and outside the municipality.

French (1990:19) states that planning for human resources provisioning is the process of assessing the organisation's human resource needs and making plans to ensure that a competent, stable work force is employed to reach goals. The planning process includes an analysis of skill levels among employees as well as in the external labour market. It is also an analysis of current and expected job openings

and of plans for expanding or reducing staff throughout the municipality. Pieters (2001:32) states that planning for human resource provisioning is an effort to anticipate future business and environmental demands in an organization/ municipality and to provide the personnel to deliver effective services.

4.3.1 Purpose and importance of human resource planning

Erasmus *et al* (2005:128) state that the main purpose of human resource planning is to identify future human resource requirements and to develop action plans to eliminate any discrepancies between the demand and supply of labour that may be foreseen. Excessive turnover and absenteeism, low labour productivity and ineffective training programmes can be reduced and expenses lowered if human resource planning is executed properly. Specific purposes of human resources planning, according to Dolan and Schuler (1987:42) in Erasmus, *et al* are –

1. to reduce labour costs by helping public sector management to anticipate shortages or surpluses of human resources, and to correct these imbalances before they become unmanageable and expensive;
2. to provide a basis for planning employee development that makes optimum use of worker's aptitudes;
3. to improve the overall business planning process;
4. to provide more opportunities for minority groups in future and to identify the specific skills available (affirmative action);
5. to promote greater awareness of the importance of sound human resource management throughout all levels of the public sector institution; and
6. to provide an instrument for evaluating the effect of alternative human resource planning actions and policies.

Graham & Bennet (1995:163) further state that human resource planning can help management in making decisions in the following areas:

1. Recruitment.
2. Avoidance of redundancies.
3. Training (numbers and categories).
4. Management development.
5. Estimates of labour costs.
6. Productivity bargaining.
7. Accommodation requirements.

In order to determine and implement basic requirements for human resource planning, sound planning needs to be based on the following principles and actions (Tyson & York, 2002:82):

1. It has to be fully integrated into the other areas of the institution's strategy and planning.
2. Senior management must give a lead in stressing its importance throughout the institution.
3. In municipalities, a central human resource-planning unit needs to be established. The main objectives of the unit are to coordinate and reconcile the demands for human resources from different departments.
4. The time span to be covered by the plan needs to be defined.
5. The scope and details of the plan have to be determined.

Human resources planning must be based on the most comprehensive and accurate information that is possible, and is thus important to public sector institutions for the following reasons (Anderson, 1994:36):

1. Labour is a significant cost to an institution and planning allows greater control.
2. Corporate planning is a key ingredient of institutional success, and financial and business planning must be augmented by human resource planning.
3. The labour supply is neither constant nor flexible, and people's social aspirations must be considered, especially in South Africa.
4. Environmental changes (technological, political, social, physical and economic) mean that human resource management is becoming more complex and challenging, which makes planning essential.
5. Changing service delivery demands have social implications for labour (ranging from redundancy to retraining), and planning can help to accommodate these demands.

Human resource planning involves a number of activities that are (Amos, Ristow & Ristow, 2004:25-26) –

1. analysing the human resource environment external to the organization (this is about understanding the labour market both locally and globally);
2. analysing the current human resource competency and human resource capability within the organization (the current staff complement, together with its competency and potential levels, needs to be known, and this provides important input information for strategy formulation);
3. determining current gaps and future requirements (the gaps must be determined between what the organization currently requires and what exists); and
4. formulating and implementation of strategies to address any gaps (human resource planning needs to correct the situation by implementing strategies to ensure the required personnel are available when required. They may also be a need within the organization to develop capability within the human resource function).

Related to human resource planning is the formulation of policies, and guidelines (procedures) to assist in the effective and efficient management of the municipality/organization. This contributes to the level of standardization and coordination within a municipality/organization. Guidelines are the most inflexible of all in that they stipulate required action. Policy provides a framework to assist managers in their actions and in making decisions, and needs to be aligned with the strategy of the organization and to be compatible with other policies within the organization, and while policy provides guidelines, procedures are more specific. They aim to provide specific instructions on the process to follow when dealing with a recurring task (Amos, Ristow & Ristow, 2004:27).

Bernardin (2003:83) states that human resource planning closes the gap from the current situation to a desired state of affairs in the context of the organisations, municipality's strategy, and effective human resource planning should involve the following factors:

1. Environmental scanning (identifies and anticipates sources of threats and opportunities, scanning the external environment (competitors, regulation) and internal environment (strategy, technology, and culture).
2. Labour demand forecast (project how business needs will affect human resource needs, using qualitative methods and quantitative methods).
3. Labour supply forecast (project resource availability from internal and external sources).
4. Gap analysis (reconcile the forecasts of labour supply and demand).
5. Action programming (implement the recommended solution from the gap analysis).
6. Control and evaluation (monitor the effects of the human resource plan by defining and measuring critical criteria (turnover costs, breakeven costs of new hires, recruitment costs, and performance).

Mullins (1999:329) states that human resource planning can assist organizations to foresee changes and identify trends in staffing resources, and to adopt personnel policies that help to avoid major problems. A human resource plan provides the trigger for personnel management action programmes, aimed at reconciling differences between supply and demand. It provides a framework in which action can be taken to help overcome staffing difficulties facing the municipality/ organization. Human resource planning is a continuous process that seeks to ensure flexible resourcing related to internal and external environmental influences. Coupled with good communications, and meaningful consultation and participation with staff involved, including where appropriate union and/or staff association representatives, effective human resource planning should help alleviate potentially harmful effects to individual members of staff or the performance of the organization.

The planning process, then, is closely related to the staffing process and depends also on the overall strategic plans of the organization. The system design to control and direct human resources planning processes include such devices as computerized records of employees' skills and qualifications, forecasts of the numbers of employees with certain skills who are likely to leave over the next year, analysis of the extent to which affirmative action goals have been met, and confidential organization charts showing possible candidates for promotion to various executive positions (Anderson, 1994:42).

4.3.2 Responsibility for human resource planning

Human resource planning in large institutions will normally be undertaken by a specialist section in the human resource department, with the necessary inputs from line function employees. This section will be centralized, focusing on the process of reconciling the number of available employees with the present and future demand for employees. One important issue to be considered when establishing such a unit is the financial capacity of the institution concerned. In smaller institutions the

planning function may largely be carried out by the line function employees of the particular institution (Erasmus, *et al*, 2005:130).

4.3.3 Advantages of human resource planning

Graham & Bennet (1995:166) state the following advantages of having a human resource planning function in place:

1. The institution should be better equipped to cope with the human resource consequences of changed circumstances.
2. Careful consideration of likely future human resource requirements could lead the firm to discover new and improved ways of managing human resources.
3. Labour shortfalls and surpluses might be avoided.
4. It helps the institution to create and develop employee training and management succession programmes.
5. Human resource decisions can be taken unhurriedly by considering all relevant options, rather than being taken in crisis situations.
6. Management is compelled to assess, critically, the strengths and weaknesses of its labour force and personnel policies.
7. Duplication of effort among employees can be avoided; coordination and integration of workers' efforts are improved.

When agreed, the human resource plan must be communicated to all levels of employees, but particularly to managers and unions or employee representatives and it is often necessary and advisable to negotiate with the trade unions on the detailed implementation of the plan.

4.3.4 Controlling and evaluation of human resource planning systems

The purpose of control and evaluation is to guide human resources planning activities, identifying deviations from the human resource plan and their causes. Human resource planning should attempt to assess the quality of working relations between staff specialists and line managers. Human resource planning data and results are important for line managers who hire employees to top managers who develop long-term business strategies, because they all make use of human resource planning forecasts, plans and recommendations (Pieters, 2001:58-59).

4.3.5 Barriers to the implementation of human resource planning results

The human resource planning process must form, as said, an integral part of the strategic planning process. Human resource practitioners often face the following significant barriers when implementing the planning process (Pieters, 2001:60), namely –

1. top management does not perceive a need for the function;
2. human resource practitioners are perceived as personnel experts, not business experts and their activities do not include planning;
3. human resource information is sometimes incompatible with other information used in strategy formulation; and
4. there may be conflict between short-term and long-term human resource needs.

In order to overcome the barriers to the implementation of human resource planning results, human resource planners must sell the idea, pounce on problems stemming from shortsighted human resource thinking and include information about strategic human resource planning in training programmes.

It should be clear from the discussion that human resource planning is the point of departure for the human resource provisioning process. The second step in human resource provisioning is job analysis, an activity that is sometimes, if not always, overlooked by municipalities.

4.4 JOB ANALYSIS

Job analysis is the process of examining the content of a specific job, through systematically gathering, analysing and synthesizing information (Pieters 2001:93). Erasmus, *et al* (2005:206) state that job analysis gives one a clear understanding of the nature and requirements of the post to be filled. This means that, before any advertising campaign can be put into operation, one has to make sure that the posts are properly analysed. This will ensure that recruitment attempts are in line with the inherent requirements of the relevant post.

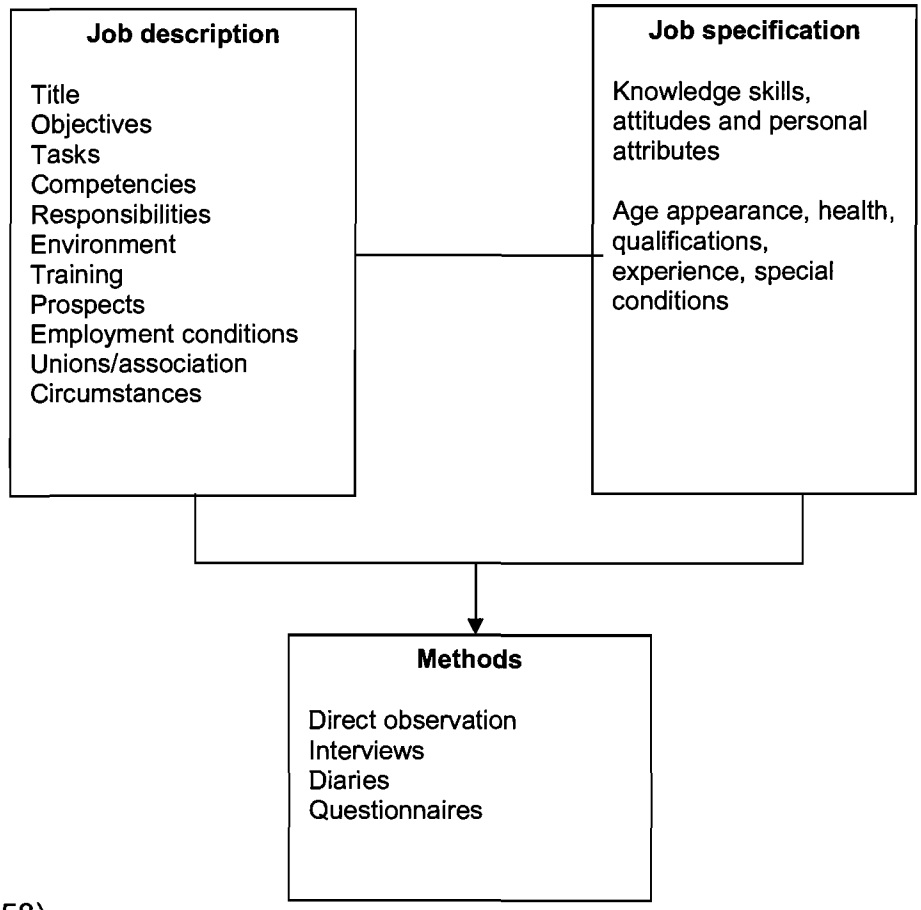
Rothwell & Kazanas (2003:65) state that job analysis is also the study of tasks, duties, and responsibilities shared by more than one (similar) positions and Pieters (2001:55) states that human resource planners should pay attention to the content of jobs when forecasting for the future. The content of the job can change overtime and it could affect the numbers and qualities of people that will be needed to fill the position. In other words changing contents of one post may lead to, inter alia; the upgrading or downgrading of that specific post or even that one post may be divided into two separate posts.

Pieters (2001:57) further states that job analysis refers to breaking a job down into tasks performed by incumbents, synthesizing these tasks into functions and obtaining data about and studying those tasks and functions. The typical outcome of the process of job analysis is a job specification and description. A job description/specification delineates the tasks performed by the incumbent and it is a written summary of the basic tasks, functions and working conditions of jobs. A job description and specification can be described as what a job demands of its

incumbent, and it is a written explanation of the knowledge, skills, attributes, and other characteristics necessary to perform a given job effectively.

The difference between a job description and specification can be depicted in diagram 4.1.

Diagram 4.1: Job analysis function (Job description and job specification)



(Pieters, 2001:58)

Amos, Ristow & Ristow (2004:28) state that job analysis is thus an instrument for the institution to reach its goals, visa vie, its human resources. The effort is typically organized by structuring the various tasks that need to be completed into jobs and then arranging the various jobs into a logical structure. A job consists of a cluster of tasks, duties, and responsibilities to be carried out by an individual in an institution and requires certain knowledge, skills, abilities, and personal characteristics, which

may differ from job to job. A job is about what an individual (s) does and the purpose of what is done in an institution.

Graham & Bennet (1995:170) state that job analysis is the process by which a description of a job is compiled and Tyson & York (2002:97) state that job analysis entails basically the following aspects:

1. Determine basic data, such as the exact title and evaluation grade of the post.
2. Establish the purpose, including the objectives and relationship with other positions in the municipality.
3. Identify the tasks related to the position.
4. Determine the responsibilities and their level of difficulty.
5. Establish the influence of the social environment.
6. Determine the level of expertise that is necessary to fill the position.
7. Establish the opportunities open to jobholders for promotion and career development.
8. Identify the conditions of employment, such as salary and other emoluments and benefits.
9. Pay attention to the job circumstances (aspects of the job commonly accepted as pleasant or unpleasant).

Pieters (2001:95) states that the job analysis process involves a number of steps, which include the following:

1. To determine whether job analysis is necessary when a vacancy occurs.
2. To determine why the analysis is needed and how the job analysis will be done.
3. To examine the organization in its totality to see where each job fits in.
4. To collect data by using appropriate job analysis techniques.
5. To develop/create a job description, including all tasks related to the job.

6. To develop/create a job specification, including the qualities an incumbent should adhere to, too fill the post.

Erasmus *et al* (2005:206) concur with Amos, Ristow & Ristow and indicate that the completion of the job analysis processes provides an overall impression of the contents of a specific post. In other words, one now has the job profile at his/her disposal, and this job profile describes the post in terms of the task requirements (job description, lately known as position profile) and the requirements for the person filling the post. When the human resource department has this broader picture of the post, the recruitment process can begin.

4.4.1 Advantages of job analysis

Tyson & York (2002:98) state the following advantages of job analysis:

1. Attention is focused on the essential requirements for effective performance.
2. It provides the criteria for defining and assessing standards of potential and actual performance.
3. It helps to review whether the formal qualifications and experience often associated with a particular role are, in fact, required.
4. It produces a person's specifications that truly and fairly state what the job requires.

With job analysis completed the third step in human resource provisioning can be undertaken.

4.5 RECRUITMENT FOR APPLICANTS

Recruitment is defined as the searching for potential candidates, in sufficient numbers, with a desired profile so that the institution can select the most appropriate people from them to fill its vacancies (Dowling, Schuler & Welch, 1994:51). Tyson &

York (2002:106) state that recruitment of staff can be described as knowing what type of human resources the municipality want, what human resources are available, and where and how these resources may be found. This is closely related to job analysis.

Meyer (2003:14) concurs with both Tyson and York and further states that recruitment is the process of attracting applicants who comply with the selection criteria of a position to be filled in an organization/municipality. The purpose is to invite, in a relatively cost-effective manner, a pool of job applicants who are potentially qualified to do a particular job. Pieters (2001:125) states that recruitment is the process of attracting applicants who may comply with the criteria of a position (after job analysis) to be filled in an institution. The general purpose of recruitment is thus to identify and provide, in a cost-effective manner, a pool of job applicants who are potentially qualified to do the job.

Recruitment needs to take place within the human resource cycle, in building the institution's capability in a changing marketplace. Recruitment is focused proactively on bringing into the institution the kind of skills and experience that cannot easily be built from within (Holbeche, 2004:167). Byars & Rue (2003:136) state that recruitment involves seeking and attracting a pool of people from qualified candidates from whom suitable candidates can be chosen. Successful recruiting is difficult if the jobs to be filled are vaguely defined.

Meyer (2003:15) states that effective recruitment can assist the selection process by reducing the number of candidates who are not suitable for a position. Recruitment can play a role in increasing individual and institutional performance. If the right candidate is recruited it results in a positive match between the institution and the incumbent. Bernardin (2003:82) states that recruitment and other human resource management activities are interdependent, and recruitment success affects the selection success and the use of certain selection procedures can affect the recruitment success.

Various factors influence a recruitment process. These may be divided into two broad categories, namely external and internal factors (Gerber, Nel & Van Dyk, 1992:176).

4.5.1 External factors influencing recruitment

External factors are factors outside a municipality, such as the labour market conditions, government policy, legislation and trade unions (Erasmus, *et al*, 2005:208). Each of these aspects will be discussed briefly.

4.5.1.1 Labour market conditions

If there is an abundance of qualified candidates who meet the job description and specification requirements, a limited recruiting effort may generate many applications. If the job market is tight, more creative and expensive efforts of recruitment will be necessary. Skills shortages will require, for instance, larger compensation packages to attract the right candidates. The Department of Labour has statistics available for different sectors of the labour market. Human resources specialists should remain abreast of current trends in the labour market to employ the right recruitment actions (Erasmus, *et al*, 2005:209).

4.5.1.2 Government policy and regulations

Government policy will in future play an increasing important role in the determination of internal recruitment activities and policies, procedures and practices. There are numerous measures prescribed by law to prevent discriminatory recruitment practices. The legal framework for recruitment is provided by the Constitution, the *Public Service Act*, 1994 (Act 103 of 1994), the LRA, the EEA, the *Public Service Regulations* of 2001, the *White Paper on the Transformation of the Public Service* of 1995, the *White Paper on Affirmative Action for the Public Service* of 1998, and the *Senior Management Service: Public Service*

handbook of 2003 (Erasmus, *et al*, 2005:209). (See also Chapter 3 of this thesis for more detail).

Section 9 of the Constitution clearly stipulates that everybody is equal before the law and has the right to equal protection. More specifically, Section 9 (2) provides that legislation and other measures may be introduced to benefit those who have suffered unfair discrimination in the past. In addition, Section 9(3) specifically outlaws discrimination against anybody on the grounds of race, gender, pregnancy, language, ethnicity, marital status, sexual preference, age, religion and disability (Erasmus *et al*, 2005:209).

4.5.1.3 Trade unions

Many unions seek to persuade public sector employers to enter into agreements with them, stipulating that only union members will be employed by the enterprise concerned. Such agreements are referred to as closed shop agreements. Moreover, unions increasingly seek greater participation in recruitment processes and decision making in this regard. Management should take cognisance of the influence of unions and adopt recruitment practices that are acceptable to all the stakeholders (Erasmus *et al*, 2005:212).

4.5.2 Internal factors influencing recruitment

Erasmus *et al* (2005:212) state that internal factors are those decided by the public sector institution itself, such as strategic plans, institutional policy and recruitment criteria.

4.5.2.1 Strategic plans

Recruitment must not be seen as an isolated activity. The public sector institution's broad, long-term plans are the basis for the detailed shorter term plans on which the

recruitment efforts are based. It is essential that the human resource department should use the corporate plans and the business plans of the relevant public sector institution to ensure strategic recruitment. A recruitment policy must be developed in line with the human resource strategy decided upon. The required number of vacancies and job titles for recruitment purposes is normally an outflow from the human resource planning process (Erasmus *et al*, 2005:213).

4.5.2.2 Institutional policy

Erasmus *et al* (2005:213) state that each public sector institution's recruitment policy must be clarified as soon as possible. If preference is given, for example, to affirmative action candidates or to promotion from within, or to employment of the handicapped, the policy must state this clearly, and certain procedures must be implemented to ensure the execution of the policy. It is, however, recommended that all the stakeholders in the institution be included in the process of determining the institutional recruitment policy.

4.5.2.3 Recruitment criteria

Abnormally stringent criteria will hamper recruitment efforts. Accurate job descriptions and specifications will help to set realistic requirements to facilitate effective recruitment. Criteria must also be drawn up to avoid any discriminatory practices. There are basic criteria that have to be adhered to in designing and developing such a programme. The criteria that have to be reflected in the recruitment programme include the following (Erasmus, *et al*, 2005:214):

1. Accessibility.
   Recruitment should be aimed at reaching, as far as practically and financially possible, the widest possible pool of available potential applicants;

2. Positive image.
   A recruitment programme should be launched in such a way that the image of the public service in general and a municipality particular, will be promoted, in order to foster the applicants' interest in the public service;
3. Equity.
   All recruitment programmes must be underpinned by the guiding principle of employment equity; and
4. Efficiency.
   Recruitment activities must ensure the acquisition and retention of human resources with appropriate knowledge, skills and competencies.

4.5.3 Recruitment sources

Erasmus *et al* (2005:215) state that once it has been decided that additional employees are needed; the public sector recruiter is faced with the decision of where to search for applicants. Two basic sources of applicants can be used: Internal (current employees) and external (those not currently in the employ of the public sector institution).

4.5.3.1 Internal sources

The internal sources for recruitment include the following (Erasmus et la, 2005:215):

1. Skills inventories.
   If the employee shortage is for higher-level public sector employees, a skills inventory system may be used to search for appropriate candidates. A skills inventory is simply a record system-listing employees with specific skills (Singer, 1990:166).

2. Job postings.
   Vacancies in the public sector institution are placed on notice boards or in information bulletins. Details of the jobs are provided and employees may apply.
3. Inside *moonlighting*.
   In the case of a short-term need or a small job that does not involve a great deal of additional work, the public sector institution could offer to pay bonuses of various types to people not on a permanent payroll.

4.5.3.2 External sources

Examples of external sources of recruitment include the following (Erasmus, *et al*, 2005:215):

1. Employment agencies.
   The public sector institution instructs the agency to recruit suitable candidates, and then the agency advertises or uses its placement database, or the institution may elect to do its own selection or can leave this in the hands of the agency.
2. Postings.
   Postings could be used to reach those communities that cannot normally be reached through the more traditional recruitment methods. In this case, public sector institutions could liaise locally with both public and private entities for the display of posters, brochures and other recruitment material at places that are accessible to the local community. Recruitment material should be designed in the languages used in the area.
3. Radio advertising.
   Radio advertising can also be used to reach rural communities, and the benefit of radio advertising, when used in conjunction with posting, is that it can serve the purpose of announcing the localities where advertisements are posted.

4. Walk-ins.

   Often prospective employees will apply directly to the public sector institution in the hope that a vacancy exists or will complete application forms and send them to the person concerned, and one third of employees obtain their first jobs in this manner (Singer, 1990:168).

4.5.4 Advantages and disadvantages of external and internal recruitment

Byars & Rue (2003:139) state that external recruitment is needed in institutions that are growing rapidly or have a large demand for technical, skilled or managerial employees. The pool of talent is much larger than available from internal sources, and employees can bring new insights and perspectives to the organization. Pieters (2001:131) states that external recruitment refers to the recruitment of candidates outside the institution. External recruitment refers to the recruitment of candidates outside the institution by making use of job advertisements in newspapers or other advertising media (Meyer, 2003:15).

Internal recruitment occurs when applicants inside the institution are invited to apply for a position(s). These applicants are familiar with the institution's policies, procedures and systems (Meyer, 2003:15). Pieters (2001:137) further states that internal recruitment refers to the attraction of internal applicants for an internal position at an institution.

Advantages of external recruitment include the following (Pieters, 2001:131):

1. New people bring new ideas and skills into the organization.
2. It is often more cost-effective to bring in skilled people from outside the institution than to train current employees.

Meyer (2003:15) and Byars & Rue (2003:142) concur with Pieters and further state that the advantages of external recruitment are that –

1. the pool of talent is much larger;
2. new insights and perspectives can each be brought to the institution; and
3. frequently it is cheaper and easier to hire technical, skilled or managerial employees from outside.

Disadvantages of external recruitment include the following according to Bramham (1997:176) and Meyer (2003:15):

1. It costs more, and it is expensive to advertise externally.
2. External appointees require time to socialize, adapt to the company or to settle down.
3. Existing employees could reject or resent new employees.
4. Employees could be aggressive towards new employees in an effort to ensure that employers do not recruit external candidates.
5. Existing employees may resent new employees if the current employees also applied for the position and were unsuccessful.
6. External appointees (mostly) are not immediately productive.
7. External recruitment is more expensive than internal recruitment.
8. Attracting, contacting and evaluating potential employees is more difficult
9. Adjustment or orientation time is longer.
10. Morale problems can develop among those employees within the organization who feel qualified to do the job.

The following are the advantages of internal recruitment (Bernardin, 2003:340):

1. Internal recruitment is cheaper than external recruitment.
2. It is a motivating factor for employees, because it gives them the opportunity for promotion and the development of their own careers.

3. Internal recruitment results in opportunities for internal transfers and promotions.
4. Employees who are internally promoted are already familiar with the organization. This shortens the learning and socialization process that takes place before an employee becomes fully productive.

Graham & Bennett (1995:177-178) state the following advantages of internal recruitment:

1. There is better motivation of employees because their capabilities are considered and opportunities offered for promotion.
2. There is utilization of employees, because the company can often make better use of their abilities in a different job.
3. It is more reliable than external recruitment because a present employee is known more thoroughly than an external candidate.
4. A present employee is more likely to stay with the institution than an external candidate.
5. Internal recruitment is quicker and cheaper than external recruitment.

Byars & Rue (2003:142) state that the following are the advantages of internal recruitment:

1. An institution has a better knowledge of the strengths and weaknesses of a job candidate.
2. Job candidate has a better knowledge of the institution.
3. Moral and motivation of employees are enhanced.
4. Return on investment is increased.

Disadvantages of internal recruiting include the following (Pieters, 2001:137) and Byars & Rue (2003:142):

1. Current employees may not have the new ideas that the company needs to grow.
2. Current employees tend to come with *baggage*.
3. If internal recruitment is done and a current employee does not get the job, that person may resent the organization and cause harm.
4. People might be promoted to a point where they cannot successfully perform the job.
5. Infighting for promotions can negatively affect morale.
6. In-breaching can stifle new ideas and innovation.

With the previous discussion in mind the recruitment process will be evaluated

4.5.5 Recruitment process

The recruitment process, according to Amos, Ristow & Ristow (2004:32), comprises of specific steps. These steps are the following (Steps one and two has also to do with job analysis):

Step 1: Identify the need to recruit

This need may arise from the creation of a new job or from a vacancy being created by someone resigning or being promoted.

Step 2: Update the job description, specification and profile

At this stage, it is important to verify information regarding the context of the job. The compensation policy of the organization as well as job evaluation information should be consulted to verify the salary scale and benefits.

Step 3: Refer to the recruitment policy

The recruitment policy and procedure document will contain specific guidelines for recruitment, and should be consulted in the interest of consistency and in order to ensure the long-term efficiency of recruitment in the public sector institution. This document reflects the institution's views regarding the approach and procedures to be followed in the institution and could include steps in the recruitment process.

Step 4 Choose the source(s)

When the public sector recruiter knows what type of person must be recruited for the job, the recruitment source can be selected. Historical data on the success rate of certain sources could be very useful in this regard. The recruitment policy may give an indication of whether the person(s) should be recruited internally or externally, and, once this has been ascertained, the recruiter will make a choice of one of more sources. It is good policy to try to recruit internally first of all and then, if a suitable candidate cannot be identified, to channel the recruitment effort externally. In certain cases, recruitment will have to be done externally, for example when a pool of new employees is required.

Step 5 Decide on a method of recruitment

The chosen recruitment method(s) must be applied. For an example, in the case of a newspaper advertisement, the planned advertisement must be screened to prevent embarrassment to the public sector institution and to potential employees. When a recruitment agency is used, clear parameters of what is expected must be communicated well in advance. It is also important to note that in the fast developing and advancing world, the Internet has become a useful means of recruiting potential applicants (Amos, Ristow & Ristow, 2004:135).

Step 6 Decide on a method of recruitment

The method used will dictate the time that should be allowed for responses. Set clear deadlines, but remain flexible to ensure the maximum number of responses.

Step 7 Allow sufficient time for response

Potential employees will respond to the recruitment method used and the majority of the applicants will not be successful. Initial screening could be done telephonically and the applicants' particulars must at this stage be compared with what has been stipulated in the job description and specification. The unsuccessful candidates must be separated from those who may be considered for possible appointment. Screening should take place according to the initial criteria set for the job. Recruiters should guard against prejudiced and subjective opinions that could lead to discrimination against applicants.

Step 8 Screen responses

During this step, a shortlist of possible successful candidates is drawn up. At this stage, telephonic screening can often help the public sector recruiter to obtain important information, which can further eliminate unsuitable candidates. The shortlist of potentially suitable applicants must be forwarded and discussed with the relevant department or unit head before proceeding to the selection interviews. The shortlist information should under no circumstances be discussed with colleagues (Van der Westhuizen, 2000:118).

Step 9 Draw up an initial shortlist of candidates

It is important to advise all applicants as soon as possible of the outcome of their applications. This will include those who were unsuccessful and those who may be invited for interviews. Great care must be taken to respond as soon as possible to

ensure that the reputation of the public sector institution remains unblemished. The following guidelines can be used when communicating with unsuccessful applicants: Personalize the communication by using the applicant's first name/surname and make sure a member of senior management (preferably the human resource manager) signs the letter personally.

Step 10 Advise applicants of the outcome

In this step, the chosen recruitment method(s) must be applied. For example, in the case of a newspaper advertisement, the planned advertisement must be screened to prevent embarrassment to the public sector institution and to potential employees. When a recruitment agency is used, clear parameters of what is expected must be communicated well in advance (Amos, Ristow & Ristow, 2004:135):

Step 11 Implement the decision (apply the recruitment method)

With the mentioned steps in place the institution can proceed with the selection function. It would be positive if management of an institution evaluates its recruitment activities. This will identify any problems that may occur for rectification.

4.5.6 Evaluation of recruitment activities

Erasmus *et al* (2005:227) state that it is essential that the recruitment process should be evaluated. It is relatively easy to evaluate the cost effectiveness of the public sector recruiter in terms of whether the recruitment target was reached. Another method of evaluation is to decide on the number of interviews required per successful placement. However, it is essential to evaluate the cost-benefit ratio of each method or of a combination of recruitment methods employed. In any case, an audit of the recruitment function is an effective way to evaluate recruitment activities.

4.5.7 Recruitment audit

Reese (1992:48) states that the idea with a recruitment audit is to check whether the recruitment function has been performed cost-effectively. This entails how recruitment was handled institutionally, with regard to speed and person-hours spent. This spot-check approach after the initial scrutiny, is satisfactory because recruitment, once established, tends to carry on rather routinely.

The auditor has to go over the organizational chart of the recruiting section, scrutinize all rules and procedures and ascertain the *modus operandi*. Only by doing this job thoroughly the auditor can uncover weaknesses, such as personnel officers who are not up to the task. Studies confirm that shoddy work in recruiting could have been avoided had the perpetrators not feared an audit. The auditor will monitor particularly closely whether all avenues of institutional recruiting have indeed been exhausted (Reese, 1992:49).

Reese (1992:49) further states that an auditor will always concentrate on asking the following key questions:

1. Is the analysis of the labour market up to date? Is it done professionally and systematically?
2. Is satisfactory use being made of information from sources outside the institution?
3. Is it ensured that recruiting from within has been considered fully? Is the system of employee assessment up to date?
4. Does the advertisement inform prospective employees sufficiently about the job and the institution? Does it promote the image of the institution?
5. Are unnecessary costs avoided?
6. Is it guaranteed that departmental selfishness does not hamper vertical or lateral career moves?

7. Is it certain that no superior has abused institutional recruiting to promote an incompetent person out of his department?

It is also important that the recruitment section should keep accurate records of each step in the recruitment process, including the relevant documents, and this will enable the public sector institution to answer any possible questions that interested parties may have at any time during the selection process (Erasmus *et al*, 2005:227).

4.6 SELECTION

Selection is a process of determining which applicants may best match particular jobs in the public sector institutional context, taking into account individual differences, the requirements of the job and the institution's internal and external environments. Selection implies a focused choice among alternative candidates for employment based on specific established criteria. It is important to know the skills, knowledge, experience and attributes required for effective performance (Walker, 1992:181).

Walker (1992:181) further states that the selection process represents a series of tests, acting as successive hurdles. The systematic use of various types of tests, shown to be related to performance, is believed to be a valuable supplement to managerial judgement. Amos, Ristow & Ristow (2004:35) state that selection is the process of selecting the most suitable candidate from a pool of candidates recruited and the selection process must be driven by pre-determined selection criteria. At the hand of the selection criteria candidates will be short listed and it is important to determine what technique(s) will be used to assess the various selection criteria.

Amos, Ristow & Ristow (2004:35) further state that among other criteria, an interview may assess communication skills and interpersonal competency, a computer literacy test may assess computer literacy, and a role play may assess decision-making and problem-solving skills. The information from the various

assessment techniques used is then compared against the predetermined selection criteria to make a final selection decision. The application of any relevant policy, such as an employment equity policy, would also need to be considered during the final selection decision.

Mistakes in selection can be costly, with serious implications, both for the individual and for the institution. Performance will be in jeopardy if staff members are unable to carry out their tasks because of a lack of skills or motivation. In addition, within the current legal environment, negligent hiring can lead to an employer having to be counselled, trained, or at worst institute disciplinary action against someone who is incompetent. It can also result in wasted time and expense if a case of unfair dismissal is lodged against an employer (Gerber, Nel & Van Dyk, 1998:96).

Bratton & Gold (1999:192) state that selection is the process by which institutions solicit, contact and interact with potential appointees, and then establish whether it would be appropriate to appoint them. Anderson (1994:50) further states that once a pool of potential candidates, who on paper meet the specifications, is selected the assessment process begins. Bittel & Newstrom (1990:176) state that selection should be based upon finding the persons whose qualifications best match the requirements of the jobs to be filled.

4.6.1 Specific aims and objectives of selection

Foot & Hook (1996:78) state that the primary aim of selection is usually expressed as "selecting the best candidate for the post". During the selection process, selectors try to determine a candidate's future work performance and the value, knowledge, skills and competencies that can be added to the public sector institution. Of equal importance is that the public sector selectors must make sure that the relevant post is acceptable so that the candidate does not leave the institution after a short period of employment.

Van der Westhuizen (2000:113) states that most writers agree that the following objectives will lead to the achievement of the primary aim of selection that is "selecting the best candidate for the post":

1. Collect as much relevant information about the candidate as possible.
2. Organise and evaluate the collected information by having proper systems in place.
3. Assess each candidate as objectively as possible by taking into consideration equal employment opportunity requirements and affirmative action policies so that predictions about future work performance can be made.
4. Provide the collected information to successful candidates so that they can be in a position to decide whether to accept an offer of employment.

In order to reach these aims a specific process must be implemented to secure successful selection.

4.6.2 Selection process

The selection process should be strategically planned, and this can be achieved as follows (Erasmus, *et al*, 2005:227):

1. Create an awareness of the essential nature of the selection task and its underlying constraints.
2. Set clear definitions of the criteria for effective work performance by having a comprehensive job analysis system in place.
3. Conceptualise the meaning and understand the implications of reliability and validity for employee selection.
4. Become aware of the range of possible methods, their value and their potential predictive capabilities.
5. Get public sector selectors involved in the training for the selection process, for example, training in interview skills.

6. Incorporate a follow-up system in the selection process to see whether predictions (appointments) that have been made have turned out well in practice.

The selection process is implemented at the hand of specific steps. Different authors identify different steps (very similar to each other) and for this thesis the following steps identified by Amos, Ristow & Ristow (2004:36), will be utilized:

Step 1 Screen and shortlist applications

Using the information provided by applicants on the application blank and/or CV, all applicants are evaluated against the predetermined criteria established from the job description and specification. The outcome of this stage is a short list of candidates for assessment.

Step 2 Contact candidates on the shortlist

The candidates on the short list need to be contacted and invited for an interview and they should also be advised on the process to follow. They should be informed clearly as to when and where the interview is, who to ask for when they arrive, and if needed what they should present to the panel. Those who do not reach the shortlist need to be informed that their applications were unsuccessful. It is thus important to keep all applicants informed of the outcome of their applications.

Step 3 Conduct interviews in an efficient and professional manner

Interviews are the most commonly used selection technique in smaller municipalities. They are a specialized form of communication conducted for a specific task, as mentioned, to select the best suited person for the job. There are, however, other techniques available, such as psychological and other tests. The interview, as the most widely used selection technique, provides municipalities to

appointing staff with the opportunity to assess applicants directly, and it provides applicants with an opportunity to learn more about the institution. The employer needs to be very particular about the interview and must base it on the job description and specification.

Step 4 Checking of background information

This is about verifying information supplied by the candidate, and the employer must ensure that he or she encourages the referee to provide sufficiently detailed information relevant to the selection criteria. Further, one should not expect too much from referees as they may well be only willing to provide one with information relating to the former employee's dates of employment and job title. Carrell, *et al* (1998:192) caution that employers should not release credit information, medical records, school records, or results of employment tests, nor should they release false or unverified reference information, or information that is vague or misleading.

Step 5 Ensure that relevant medical examinations are conducted (if required and permitted)

Medical testing is prohibited by the EEA unless --

1. the post advertised requires such testing; and
2. it is justifiable, given the requirements of the job.

HIV/Aids tests are not allowed without the applicant's consent and, even with the applicant's consent, the results of the test cannot be used to discriminate against the person.

Step 6 Make a final hiring decision

When making a final hiring decision, all the information gathered during the previous steps is considered. The primary concern is whether the person will be able to fit into the job and be able to do the job, given the job description and specification. One must also decide on how to proceed if the person offered the job declines the offer. In making this decision, it must be considered whether the runner-up candidate is appointable or whether the recruitment process will need to be used again to find another pool of candidates (Carrell, *et al*, 1998:194).

Step 7 Make a fair job offer

Once the decision has been made to hire a particular applicant, a letter of appointment must be drafted. The letter should include the job title, a brief description of the job, the starting remuneration package, the length of the probationary period, if applicable, and a request that the person indicates in writing by a specific date, whether or not he or she will accept the offer. Once the person has accepted the offer in writing, a letter welcoming the person to the organization and provides information regarding the first day of work, must be drafted. The new employee must also be provided with a letter of appointment immediately before or on the first day the new employee reports for duty (Pieters, 2001:149).

Step 8 Ensure that complete records are kept

A complete set of records pertaining to the recruitment and selection of staff should be kept. That is, keep the documents from every step of the process, including advertisements, letters sent to applicants, job descriptions and specifications, CVs and any documents used to assist in the decision. This is to ensure that the employer has the necessary evidence of the process, should it become necessary to respond to any queries or allegations of unfair discrimination.

Step three, as discussed above, may be regarded as the most important step in the process and the selection methods must get special attention to secure the effective selection of applicants.

4.6.3 Selection methods

Pieters (2001:151) states that in theory various selection methods can be used, and can be applied in isolation, but it is recommended that a combination of selection methods be used. The reason for this is that each method has its own weaknesses in addition to its strengths. It is also advisable to use complementary methods that could reduce the effect of these weaknesses, and at the same time provide additional information. The various selection methods can be used in any sequence that is logical to the user. Institutions should consider the cost-effectiveness of the various selection methods before deciding on the final sequence of selection methods to apply.

Smaller municipalities, such as the three municipalities in the Northern Free State, find it difficult to utilize more than the traditional method of selection, and that is interviews. The reason for this is more financial than any thing else. Emphasis will thus be placed on interviews as selection method.

4.6.3.1 Application forms

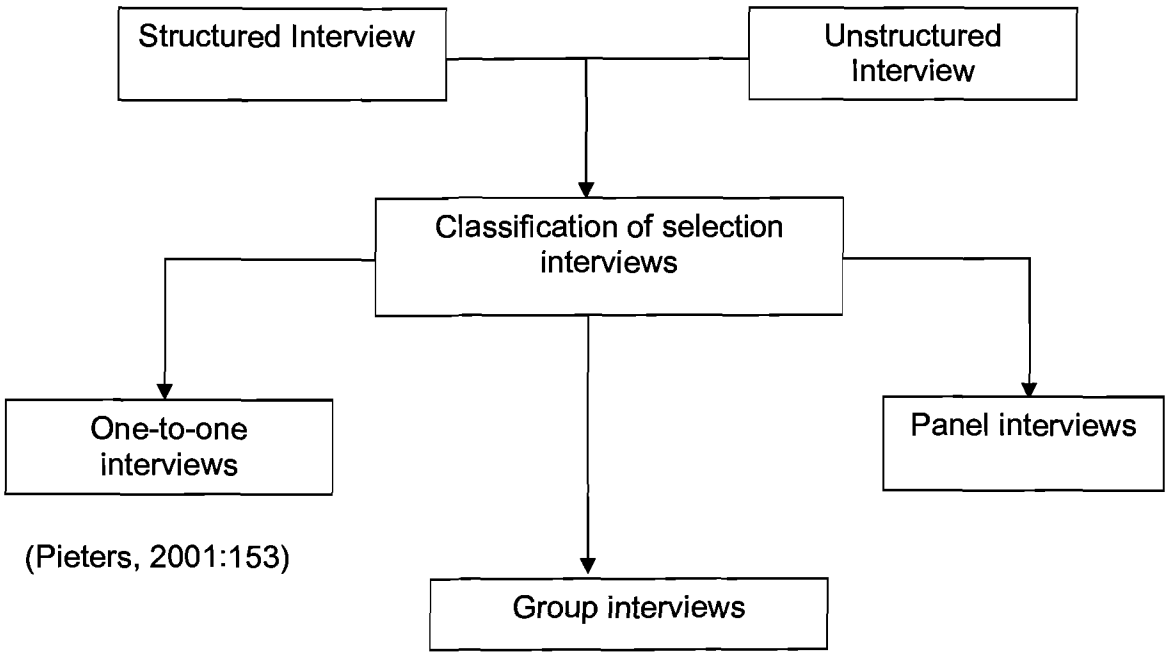
The application form consists of a list of general questions aimed at gathering relevant biographical data, and specific questions related to the requirements of the specific job. This form can therefore be used to gather information about the general suitability of the applicant. In the light of the Bill of Human Rights and the LRA, it is important to ensure that no questions that could be considered discriminatory appear on the application form. Managers must be able to justify the criteria used to eliminate applicants on the basis of information from the application form. It is also incorrect to select a candidate purely on the basis of the information on the application form.

4.6.3.2 Interviews

A selection interview is a discussion between the candidate and the interviewer(s) for the purpose of gathering information that can be used to evaluate the suitability of the candidate to fill a vacancy. It also provides the opportunity for the applicant to obtain information about the job and the organization. Scarpello & Ledvinka (1988:89) state that interviews can be regarded as the most common means of selection. The validity of the interview as a means of identifying the best person for the job has been questioned by many researchers. Despite this, the interview remains a popular method of gathering information to make decisions regarding promotion, transfer and both internal and external selection.

There are mainly two types of interviews, according to Pieters (2001:153), and these types of interviews are structured and unstructured. Diagram 4.2 illustrates the classification of selection interviews.

Diagram 4.2: Classification of selection interviews



(Pieters, 2001:153)

4.6.3.3 Structured interviews

A structured interview is well planned in advance, and all candidates are evaluated on the same basis. The structured interview is normally used to question the interviewee in detail about participation in activities that are similar to those of the job under consideration. The interviewee (for an example) is also asked to describe relevant experiences, which could be either work or non-work experience. The interviewer asks the interviewee to describe a decision that he or she had to take while in a leadership position. He or she is then requested to describe why he or she had to make the decision, as well as the outcome of the decision (Pieters, 2001:154).

This line of questioning is better than having just a general discussion with the applicant about school experience or the type of books he or she reads, or other questions that are typically asked in an unstructured interview situation. In a structured interview, important aspects and characteristics of the application can come to the fore (Scarpello & Ledvinka, 1988:102).

Erasmus, *et al* (2005:250) concur with Scarpello & Ledvinka and Pieters and further indicate that structured interviews are characterized by two essential features, namely careful, systematic planning of the interview and exclusive use of technically skilled interviewers. A systematic analysis leads to clear statements of objectives, a plan for obtaining the necessary information, and procedures according to which this information can be assessed.

Scarpello & Ledvinka (1988:103) provide the following guidelines for conducting structured interviews:

1. The relevant key success areas for the position must be identified in advance, and the interview format should be structured in such a way that the interviewer consistently gathers information about these key success areas.

2. Structured interviews should focus only on the key success areas that can be assessed most effectively by interviews, for instance behaviour that will be successful in the work situation. It would be more appropriate to evaluate specific job knowledge by means of a test or other selection instruments, such as simulation exercises.
3. The applicant must be rated on the key success areas or dimensions that have been identified before the interview, and not on other criteria that may be irrelevant, e.g. the dress of an applicant being considered for a computer programming position in a private office.
4. It is always wise to use a panel interview, consisting of the person who would be the immediate supervisor of the incumbent if he or she were appointed, an employee representative from the workplace, and the interviewer, who could be human resource practitioner. Each panel member plays a specific role, as described later on in this chapter.
5. Job-related questions must be asked. This means that the questions must focus on behaviour in past work, and training or educational activities that are relevant to the job.
6. The interviewer must be trained to receive information accurately, in other words, to gather information that relates to the job requirements.

The interviewer must also, after the interview, critically evaluate the information received, and compare this information with the predetermined job specification.

Municipalities should avoid unstructured interviews for various reasons. The unstructured interview refers to the coincidental organized type of interview where there is not a special attempt to explore specific areas for information about the applicant. This method can rise to a lack of validity if the interviewer has no training in conducting interviews. The unstructured interview is less reliable than the structured interview, and could result in a hasty evaluation of the candidate.

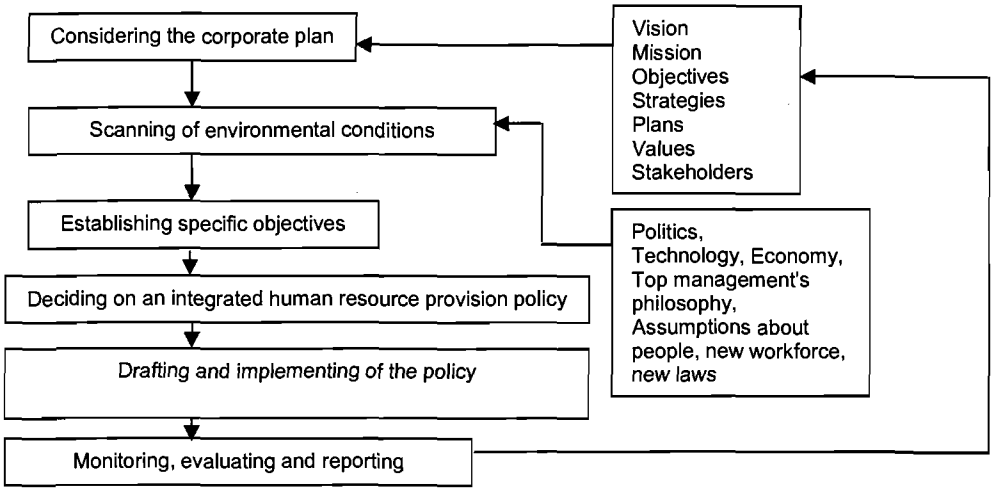
Erasmus *et al* (2005:233) state that selection decisions require one to know how such knowledge, skills and abilities can be assessed, which makes the proper use of predictors in selection important. Therefore, appropriate investment needs to be put into the selection process beforehand to avoid possibly enormous and incalculable costs due to faulty employee selections.

4.7 FROM THEORY ON HUMAN RESOURCE PROVISIONING IN MUNICIPALITIES TOWARDS A POLICY

The discussion so far has laid the theoretical foundation of the basic contents of human resource provisioning activities. This information is necessary to develop a human resource provisioning policy for the three municipalities under discussion. Once the theory of human resource provisioning is understood, relevant legislation must be analysed to determine its influence on human resource provisioning.

The actual development of a policy, with its complex phases, is rarely neat and orderly (Dresang, 2002:128). This also depends on the size, complexity and resources of the particular public sector institution where the policy is developed. For a small municipality a human resource provisioning policy will obviously be less complex than in a large municipality. Diagram 4.3 illustrates, for instance, a framework of aspects that had to be taken into account when a policy for human resource provisioning is developed in a smaller municipality.

Diagram 4.3 Framework for developing a policy for human resource provisioning (Dresang, 2002:128)



McGregor (in Tompkins 1995:32) places the policy-making process on the shoulders of people at all levels of management in an institution. He is of the opinion that policy development requires all public sector managers to "learn to think systematically". With a systematic view of strategic public sector human resource management, formal human resource policies can be seen as preceding actions.

Anderson (1994:198) states that in striving towards a policy for human resource provisioning in a municipality, personnel managers should be guided by a code of conduct, which in turn will permeate the policies and procedures of the organization. Anderson (1994:198) states further that at the risk of even more bureaucratisation of personnel management, there is a strong case for writing the policies down and distributing them across the organization. Clarity, uniformity, a widespread knowledge of "the rules", a guide for management and a clear view of goal achievement can follow. However, policies cannot legislate for every event and circumstances are ever-changing. This means that the "the rules" must not be rigid.

4.8 CONCLUSION

Human resource planning helps towards human resource provisioning in a municipality as it reconciles the demand for and supply of labour. It also assesses the organisation's human resource needs in light of goals and making plans to ensure that a competent and stable workforce is employed. A municipality is better equipped to cope with human resource provisioning if decisions can be taken unhurriedly and by considering all relevant options, rather than being taken in crisis situations.

Job analysis helps towards human resource provisioning in municipalities in that it focuses immediately on the essential requirements for effective performance, provision of the criteria for defining and assessing standards of potential and actual performance. It has been noted that job analysis helps to review whether the formal qualifications and experience often associated with a particular role are, in fact,

required and it further produces a person's specifications that truly and fairly state what the job requires.

Recruitment strives to identify and provide, in a cost-effective manner, a pool of job applicants who are potentially qualified to do the job, and it builds the municipality's capability in a changing market place. Recruitment brings into the organization skills and experience that cannot easily be built from within. Further, effective recruitment can assist the selection process by reducing the number of candidates who are suitable for a position. Selection determines which individuals may best match particular jobs in the public sector institutional context, taking into account individual differences, the requirements of the job and the institution's internal and external environments. Selection implies a focused choice among alternative candidates for employment based on some established criteria, and it is important to know the skills, knowledge, experience and attributes required for effective performance.

The discussion of human resource planning, job analysis, recruitment and selection have laid the foundation for the development of the human resource provisioning policy.

The policy-making process is discussed in the next chapter.

CHAPTER 5

POLICY-MAKING-PROCESS

5.1 INTRODUCTION

The policy-making process is a dynamic process that consists out of different phases. This implies that different interactions take place during the phases of policy-making. Different authors identify different phases in the policy-making process, but eventually all phases refer to the same process. In this thesis the phases, as explained in Chapter one, will form the basis of the discussion.

The policy-making process involves in essence, firstly the formulation of problems and goals (planning) regarding a phenomenon that needs a policy to address irregularities. This is agenda setting. As soon as a problem has been established and described the policy formulation phase is undertaken. This phase involves the establishment of clear and acceptable methods and actions so that detailed policy, accompanied by clearly defined proposals, can be formulated (Bench-Capon, *et al.*, 1989:221).

Thirdly, policy acceptance, or adoption, represents the next phase of the policy-making process, during which policy-makers reach a final decision on a policy before it is implemented and put into force in the community. This phase is complicated and Chapter six of this thesis addresses the issue in detail at the hand of a model. Once a policy has been accepted and adopted, the fourth phase, namely the policy implementation phase, comes into effect during which approved and accepted policy is implemented in the community and set into motion. This is reached through the development of guidelines or procedures. The fifth and last phase is the policy analysis phase (Anderson, 1976:5).

The interaction between the different phases of policy-making, as indicated, should be harmonised in the development of an effective policy for human resource provisioning. The purpose of Chapter five is firstly to define policy-making, which includes an analysis of the relevant phases of the policy-making process. A broad discussion of the development of a policy will also be undertaken in this Chapter and the detail discussion in this regard will follow in Chapter six.

5.2 CONTENTS OF POLICY-MAKING

There are several definitions of policy-making. Anderson (1984:8) describes policy-making as a pattern of actions that occurs over a period of time and during which a variety of decisions are made, while Comfort (1981:101) sees policy-making as the process during which choices between certain alternatives are made. Pearson (1991:234) describes policy-making as a complex interaction between social values, people, resources, information, authority and procedures brought about through a process of formulation, implementation and execution of plans in order to achieve a goal.

Baker (1999:28-29) refers to policy-making as a process during which problems are identified and attempts are made to solve such problems. In addition, policy-making is seen as a process of goal setting, allocation of resources and evaluation of policy. Once goals have been set, the purpose of the policy can be determined; a decision can be made of which goals are the most important. Evaluation of policy occurs once the purpose has been identified and the resources have been allocated in order to achieve the purpose. The effectiveness and efficiency of policy-making can be determined during the evaluation phase (Pearson, 1991:236).

Taking the afore-mentioned definitions into account, the following definition can be formulated for this study: Policy-making is the process during which problem areas (human resource provisioning) are identified and attempts are made to solve such problems by developing a policy and guidelines/procedures that will address the

problems. The problem that forms the core of this study is, as mentioned, that the three municipalities in the Northern Free State seemingly do not address human resource provisioning effectively and that policies in these municipalities are not up to standard.

Taking into account the preceding definitions and explanation and the objectives of this study, policy-making can be described as a complex and dynamic process, consisting of various components. The definition leaves room for a process during which problem and goal formulation, policy formulation, policy acceptance, policy implementation and policy evaluation can occur. The process is dynamic and future oriented, as interaction and interplay take place with the aid of decision making, planning and policy analysis to enable policy-makers to set a more effective and efficient policy (Baker, 1999: 31).

Cloete *et al* (2004:25) state policy-making is 'jellylike in nature" When one looks at the policy-making process a hint can be detected on what it comprises of through the demarcation of policy-making into specific fields of studies or approaches. Approaches to policy-making are for instance the elite/mass approach, the group approach, the institutional approach, the social interaction approach, the system approach, the policy network and communities approach and the functional/phases approach.

In this study the last-mentioned approach will be followed. The reason for this is that this approach is ideal to analyse the activities of human resource provisioning and policies in the municipalities. Each stage or phase discussed in this chapter acts as a 'benchmark' to evaluate the activities in the municipalities. The different phases will be discussed next. It is also the approach followed in the rest of the study.

5.3 PHASES OF THE POLICY-MAKING PROCESS

The policy-making process involves, firstly, **the formulation of problems and goals (agenda setting)**. During the problem and goal formulation phases the problems of a specific phenomenon, such as ineffective human resource provisioning are identified and then included on the policy agenda. Hereafter the policy objectives are formulated. The formulation of policy objectives is important, since inaccurate or poor formulation can lead to defective formulation of a policy, which may lead to a situation where the identified problems are not being addressed (Quade, 1989:75, 87).

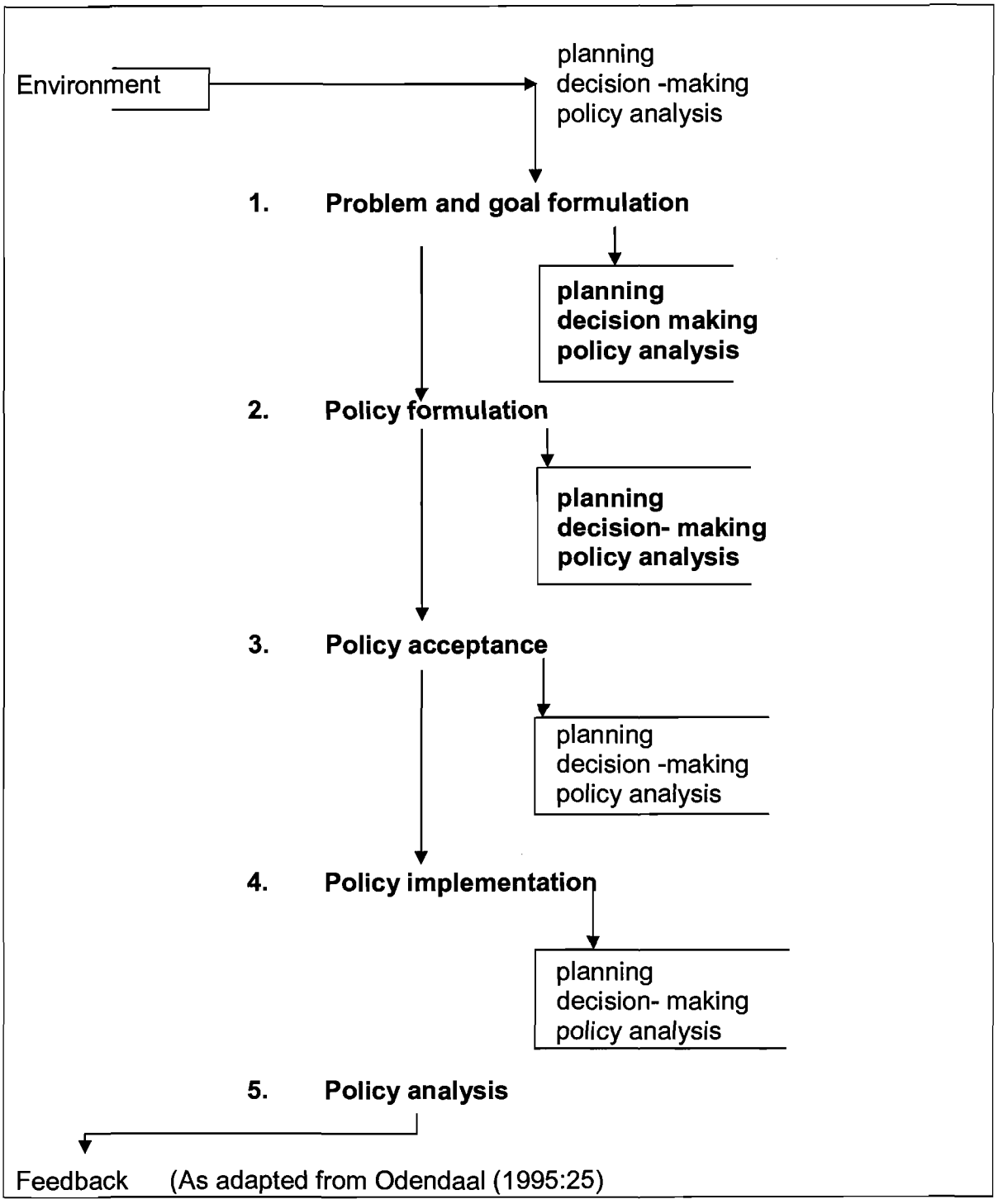
Secondly, as soon as a problem has been included on the policy agenda and policy objectives in this regard have been set, the **policy formulation** phase is implemented. This phase involves the establishment of clear and acceptable methods and actions so that detailed policy, accompanied by clearly defined proposals, can be formulated (Pearson, 1991:238).

Thirdly, **policy acceptance/adoption** represents the next phase of the policy-making process, during which policy-makers reach a final decision on a policy matter before it is implemented and put into force. Once such a decision has been made, the fourth phase, namely the **policy implementation** phase, comes into effect, during which approved and accepted policy is implemented and set into motion (Anderson, 1976:5).

The **policy evaluation** phase is the fifth and last phase of the policy-making process. During this phase, policy-makers can determine the nature, usefulness and impact of a policy (Anderson, 1976:259). Through policy analysis it can be determined whether the original problem has indeed been addressed and resolved by means of the policy. If not, attempts can be made to start the entire process from the beginning and keep trying until a suitable solution to the problem has been found

(Anderson, 1976:259-260; Nachmias, 1979:4). The following diagram, diagram 5.1, is the diagrammatic representation of the policy-making process:

Diagram 5.1: Diagrammatic representation of the policy-making process



The above-mentioned phases follow on one another and make up a dynamic process in which problems are addressed through the development of a policy (Anderson, 1976:5-6). In addition, the policy-making process is constantly influenced by planning, decision making and policy analysis, which further contribute to the dynamic nature of the policy-making process (Odendaal, 1995:26).

There should be constant planning from the one phase to the next regarding the *modus operandi* to be followed to address a specific problem. In addition, decisions need to be made concerning which policy choices will deliver the best results during each phase, and finally, an analysis should be conducted to determine the consequences of a specific policy choice (Anderson, 1976:7).

As mentioned the first four phases are of importance for this study in that a policy will be developed for implementation to address the problems regarding human resource provisioning in the three Northern Free State municipalities.

5.4 PROBLEM STATEMENT AND GOAL FORMULATION

Anderson (1976:7) asserts that the agenda setting of policy is normally preceded by the existence of a problem(s). Firstly, during the problem identification and goal formulation phase, the problem(s) that gave rise to the setting of policy is identified. Secondly, as soon as the problem(s) has been identified, it is included on the policy agenda. Not all problems are included on the policy agenda by policy-makers, since time, financial resources and staff are in many cases limited (Davis, 1993:43).

Decisions and choices should be made by policy-makers regarding the importance of the addressing of problems and whether these problems must be addressed by developing a policy. Thirdly, clearly formulated policy objectives are determined so that steps can be taken to prepare for the policy formulation phase. Since the setting of policy is preceded by the existence of a problem, the identification of a problem,

as part of the problem and goal formulation phase is consequently analysed (Edwards & Sharkansky, 1978:109).

The policy and goal formulation phase can be demarcated into the following specific steps:

5.4.1 Identify the problem

In public institutions (municipalities included) a problem is defined as a condition or situation that is not acceptable and which may ultimately hamper effective service delivery (Anderson, 1976:8). Dye (1981:348) considers the identification of a problem(s) as the most important step in the policy-making process, since only confirmed problems can be included on the policy agenda. Due to the importance of such a step, it is essential that policy-makers isolate and define an identified problem or need so that a serious attempt can be made to resolve it, within financial constraints (Quade, 1989:69).

In Chapter one and two of this thesis the broad problem regarding the lack of effective human resource provisioning activities and policies for the three municipalities in the Northern Free State has been discussed. This problem was identified at the hand of the pilot study that was undertaken. The identification of this problem can be regarded as the first step of developing a policy for human resource provisioning in these municipalities. The identification, isolation and definition of a problem are a complex process. While it is relatively easy to determine whether there is a specific problem in a municipality, it is sometimes difficult to determine exactly what the problem is. The reason for this is that the activities of a municipality are complex and problems are rarely identifiable in the initial stages (Edwards & Sharkansky, 1978:87, 88).

The qualitative study addressed this problem in depth and through this study the researcher could determine, to a large extent, what the exact problems were. The human resource activities are, inter alia, hampered by under staffing, poor training, financial constraints, poor selection procedures and the influence of politics on the human resource function. In essence this boiled down to the ignorance of the function.

Without an in depth study policy-makers (Councillors and senior management) are led by their own imaginations, judgement and intuition in the identification and isolation of a problem. They may also base their assumptions on problems on own perceptions, which make the identification of a problem more complex (Quade, 1989:69).

However, Quade (1989:70) is of the opinion that constraints regarding the identification of problems can be overcome when policy-makers ask the following questions:

1. How did the situation arise and why is it a problem?
2. Is the problem part of a larger problem, and if so, shouldn't the larger problem rather be addressed?
3. Why is a solution to the problem necessary?
4. What type of solution is acceptable in addressing the problem?
5. Are there different opinions on how the problem should be solved, and on what are such opinions based?

Policy-makers can find the answers to the above questions with the aid of in depth studies and thorough planning techniques. Planning, as such, is an advisory process that consists of related steps, such as the definition of objectives, the gathering of information and the formulation of alternative possibilities, which can be used by policy-makers as aids in finding answers to the questions above. Planning subsequently enables policy-makers to gather information so that existing and future

problems can be identified and objectives in this regard can be formulated (Prince, 1985:9-11).

Policy-makers also make use of policy analysis to identify, formulate and define a problem. Alternative solutions (such as a qualitative study) to and decisions on existing and future problems, as well as the consequences thereof, can be considered by policy-makers in an effort to identify and define problems. In this way, more information on a specific problem can be gathered, which can lead to a more effective and efficient definition of the problem (Quade, 1989:71-72, 337). Policy analysis thus helps policy-makers during the identification of a problem or need to come to a well-thought-out decision (Mead, 1983:45). Once a problem has been identified, it must be included in the policy agenda.

5.4.2 Policy agenda-setting

A policy agenda includes all those items (problems) that deserve serious consideration by policy-makers (Edwards & Sharkansky, 1978:100; Anderson, 1976:14). According to Dror (1986:153) a policy agenda includes, in order of priority, all the more important problems, defined and selected during the problem identification stage. A policy agenda thus consists of a variety of problems, selected by policy makers, to include them in a policy agenda in order to attend to them (Anderson, 1984:47).

From the above it can be deduced that not all problems are necessarily included in a policy agenda. Choices are made and decisions reached on which problems are sufficiently important to be included on the policy agenda. It is therefore even more important that problems are clearly described and defined. There are several ways in which a problem can be included in the policy agenda. Dye (1981:349) refers to this as the tactics of agenda setting. Policy-makers themselves can decide to include a problem on the policy agenda, especially where a problem is threatening to

become a national crisis, for instance when famine breaks out or when there are threats of war (Edwards & Sharkansky, 1978:102-103).

Policy-makers can also be influenced by the community, to such an extent that they include a problem in the policy agenda. An example in this regard is when the need for the provision of sport and recreation services within the community is made known. Similarly, the media can influence policy-makers to include certain items on the policy agenda. For example, the media can influence members of the public to participate in public discussions on specific problems so that such problems can be brought to the attention of policy-makers (Edwards & Sharkansky, 1978:104-106).

Just as there are different ways in which an item or problem can be included in the policy agenda, so there are different ways to prevent problems from being included in the policy agenda. A problem can often be resolved before being included in the policy agenda. Influential individuals and groups involved in the policy-making process can, for example, play a preventative role when problems are included on the policy agenda. This occurs when influential individuals and groups fear that the public's attention will be focused on them and that their personal interests might suffer as a result (Dye, 1981:349).

According to Edwards and Sharkansky (1978:108), policy-makers can also influence the attitudes of members of the public in an effort to suppress particular problems, for instance by means of public relations. The fact that an identified problem is included in the policy agenda is no assurance that it will remain there, however. New problems that enjoy a higher priority, or which require urgent attention might replace existing problems (Edwards & Sharkansky, 1978:109).

Since problems are selected and included in the policy agenda in order to priority, it is of the utmost importance that policy objectives are accurately formulated. The formulation of policy objectives is subsequently analysed.

5.4.3 Formulating policy objectives

Once a problem has been identified and included in the policy agenda, it is important that the policy objectives are clearly formulated. It is only once a policy objective has been formulated, that policy-makers can proceed to the effective formulation of the policy as such, and that they can submit proposals for the achievement of policy objectives for approval (Edwards & Sharkansky, 1978:109; Quade, 1989:73).

When formulating a policy objective, policy-makers must reach decisions on what is to be achieved by means of the policy objective. It is also essential that the right decisions are made with respect to the formulation of policy objectives. According to Quade (1989:75, 87), inaccurate or poor formulation of policy objectives and subsequent decisions results in the following:

1. Inaccurate and ineffective alternatives are proposed.
2. Resources are utilised without having a meaningful effect on the actual problem.
3. Wrong or irrelevant problems are investigated and addressed.

However, it is not a simple task to formulate policy objectives. Policy-makers often have differing opinions on a specific problem. This can mainly be ascribed to the fact that policy-makers' values and perceptions differ. For instance, policy-makers can agree on the origin of a particular problem, but they may have differing opinions on the role the municipality ought to play in addressing the problem. This in turn can result in policy-makers failing to reach consensus on the formulation of policy objectives (Edwards & Sharkansky, 1978:110-111).

Policy-makers are also not always aware of alternative policy objectives and their implications, and are also often not able to formulate applicable policy objectives

because it is difficult to determine the feasibility and cost implications of the policy objectives that have been formulated (Quade, 1989:90).

According to Quade (1989:89) policy analysis is a useful resource that policy-makers can use to overcome the above-mentioned stumbling-blocks. With the aid of policy analysis, policy-makers can identify problems, research them, identify conflicting policy objectives, gather more information on a specific problem, and propose alternative policy objectives. More information on the consequences and costs arising from the pursuit of a policy objective can also be gathered by means of policy analysis. Policy-makers' jobs are consequently made considerably easier when a choice is made between alternative policy objectives (Quade, 1989:11-12, 90-91).

As soon as a policy objective has been formulated and a choice has been made between alternatives, the next phase of the policy-making process is launched. This phase is known as the policy formulation phase. This phase is particularly relevant for this study in that it will provide the broad guidelines for policy development.

5.5 POLICY FORMULATION

The policy formulation phase involves the development of clear and acceptable proposed methods of action so that the problems that have been identified can be effectively and efficiently resolved (Anderson, 1976:51; Anderson, 1984:53; Dye, 1981:354). With consideration of the above, policy formulation is described as the development of detailed policy, associated with clearly defined proposals (Burch & Wood, 1990:15).

In order to formulate effective and efficient policy, policy-makers should determine what needs to be done and how policy should be formulated. Firstly, this means that policy-makers should determine the relationship between the set policy objective and the intended policy. Comfort (1981:77) asserts that the relationship between

policy objectives and policy is of the utmost importance for effective policy formulation. Policy-makers must plan what they are going to do and at the same time should decide on policy in order to realise policy objectives (Anderson, 1976:51-52; Comfort, 1981:78; Kotzè, *et al*, 1985:14).

A variety of participants take part in the policy formulation phase and all contribute to effective planning and decision-making (Anderson, 1976:52). Such participants include civil servants (also municipal officials) and political officials (including politicians on municipal level). Civil servants are responsible for the preparation and wording of policy, while the political officials reach the final decision on policy before it is accepted as official (Van der Merwe, 1988(a):117,122-126). In addition, local government committees and members of the public also play a role in the formulation of policy. By virtue of their expertise management committees, interest groups and members of the public can make recommendations and proposals to municipal councils that can lead to the formulation of policy (Kotzè, *et al.*, 1985:18-19).

The qualitative study indicated that this aspect of policy-making is severely neglected in the three municipalities. Councillors and to a lesser extent the senior management level ignore the inputs of personnel, working on an every day basis, with human resource aspects. The same is the case with union members and the public. The formulation of policy is thus questionable in the three municipalities. A further problem seems to be the fact that the formulation of policies is in one municipality (Ngwathe municipality) outsourced to consultants.

In subsequent paragraphs, the relationship between policy objectives and policy, in light of the realisation of the objectives, as well as the participants involved in the formulation and wording of policy, is investigated. An analysis of the above matters forms the foundation upon which the subsequent phase, namely the policy acceptance phase, can be built.

5.5.1 Relationship between policy objectives and policy

A policy objective refers to that objective or criterion that can be realised by means of a specific policy (Nagel, 1984:1). The successful realisation of a policy objective is measured by a series of actions that result in policy formulation and which should eventually deliver the desired result (policy) (Eyestone, 1984:263).

Comfort (1981:77) asserts that the relationship between policy objectives and policy has an influence on the formulation of policy. Various problems arise from the relationship between policy objectives and the formulation of appropriate policy. Problems arise, for example, due to the inability of governments to plan thoroughly. Policy-makers' ability to plan thoroughly is sometimes hampered by the fact that they do not plan or work systematically to find solutions to identified problems.

It was determined that this is also a problem at the three municipalities and that adequate planning for human resource provisioning does not exist. This leads to a large extent to the fact that the human resource provisioning activities are ineffective.

Comfort (1981:79) refers to planning as systematic thinking and points out that systematic thinking is not the only contributor to the formulation of policy. Other factors, such as specification also contribute to the formulation of policy. For example, a decision must be reached on the type of actions that will be taken to achieve a specified goal. In addition, it must be determined whether there are alternative options when it comes to addressing a particular policy objective (Anderson, 1976:5, 51). Furthermore, a decision needs to be reached on the methods to be utilised to formulate policy and how such policy will be compiled (Dunn, 1986:224). Municipalities often find it problematic to reach decisions in this regard and to plan how to go about resolving the identified problems (Comfort, 1981:78).

In reference to the above, the policy formulation function of policy-makers is also influenced by the complexity of and uncertainty surrounding decision making (Dryzek, 1983:345). This is due to the dynamic nature of the policy formulation phase and the inability of policy-makers to initiate, develop and decide on a particular plan of action. The process is described as dynamic and complex because it consists of a series of interactions between individuals that is influenced by planning and the making of choices in respect of policy formulation (Eyestone, 1984:263-265; Dryzek, 1983:346).

The vagueness of policy objectives and subsequent formulation of policy that does not necessarily address the originally identified problem or need further contributes to tension during the policy formulation phase. The apparent inability of policy-makers to process information gathered during the problem identification phase also serves to aggravate the tension experienced during the policy formulation phase (Comfort, 1981:81).

According to Comfort (1981:81) the above problems can be resolved through a process of specification. Specification is described as a process to determine whether or not a decision can be used as a practical guideline during the policy formulation phase. Specification can help to determine whether or not a decision is viable. It also means that decisions on the formulation of policy objectives should be reached. It should also be determined which resources will be used to formulate policy. Furthermore, specifications form a healthy balance and relationship between policy objectives and the formulation of policy. With the aid of specifications, *modus operandi* can be described and portrayed, the responsibilities of policy-makers can be emphasised, and resources such as staff and work procedures for the achievement of policy objectives can be identified (Comfort, 1981:81-83,100-103).

Various participants take part in the policy formulation phase and, with the aid of decision making and the specification of policy objectives, can contribute to a healthy balance and relationship between policy objectives and policy. The role of

the participants, with specific reference to participants at the local government level, is discussed below.

5.5.2 Participants in the policy formulation phase

In any given institution there are various participants taking part in the policy-making process (Anderson, 1976:52). Hanekom (1987:21) differentiates in this regard between official and unofficial participants. Participants involved unofficially or indirectly in the formulation of policy include interest groups and members of the public, such as researchers. This thesis is, for instance, a typical example of an unofficial contribution. Official contributions are made by council committees, management committees, officials in the employ of a particular municipality and municipal councils – including the role played by individual council members (Anderson, 1976:52; Hanekom, 1987:21; Kotzè, *et al.*, 1985:16, 20).

Interest groups and members of the public make an unofficial and indirect contribution to the formulation of policy, because they constantly negotiate with the relevant council by means of petitions and consequently bring the opinions of groups and individuals to the council's attention (Anderson, 1984:55; Kotzè, *et al.*, 1985:68). The role played by interest groups and individual members of the public in respect of the formulation of policy arises from the negotiation role they fulfil (Adlem & Du Pisanie, 1982:47; Kotzè, *et al.*, 1985:19).

Interest groups and individual members of the public are often organised and well informed on the particular issue to be brought to the council's attention. The knowledge they possess and the organised way in which they direct petitions to the council is often an important source of information for the council, especially in cases where the council is considering policy. As a result of the interest groups' expertise, regular liaison occurs between such groups and the relevant council, and the council is enabled to make selective use of the information concerned (Kotzè, *et al.*, 1985:68-69).

Besides the unofficial and indirect contributions of interest groups and members of the public, official and direct contributions are made by committees such as management committees. According to Humes & Martin (1969:99) a committee is an organisational component that is charged with certain powers and which must carry out certain functions on behalf of another organisational component, such as the municipal council. Committees such as the management committees of local governments have a direct influence on the formulation of policy. In the Northern Free State municipalities, management committees do not have powers to make recommendations to the municipal council on matters affecting the council, as councillors make decisions based on political mandates. This scenario was evident during the empirical study, as it was clearly outlined by the respondents during the qualitative study that councillors do not execute their duties as expected, and that their continued sidelining of management committees in the municipalities, like the LLF, a committee set up for all stakeholders (unions and management) to discuss issues pertaining to the running of the municipality, especially labour issues.

According to Kotzè, *et al.* (1985:18-19) management committees have the power to make recommendations to the relevant council on any matter affecting the council and which is discussed during a management committee meeting. From this it can be deduced that management committees have the power to make recommendations on the formulation of policy. Management committees are composed of members of the council and, by virtue of their official capacity and as members of the management committee, they are in an ideal position to make recommendations during formal council meetings on the formulation of policy.

This favourable opportunity to render inputs on the formulation of policy arises from the informal way in which the management committees function. This can be ascribed to the fact that management committee members liaise closely with officials of the relevant local government and therefore have access to first-hand information on a particular matter. The meeting procedures of management committees are as a rule not strict and formal. The advantage of this is that members of management

committees can more quickly and easily reach decisions on specific management issues and then report to the council accordingly. This serves to eliminate long and tedious debates during formal council meetings, and decisions can be reached in less time (Kotzè, *et al.*, 1985:19, 46).

The close contact between officials, members of the public and interest groups, as well as their expertise in respect of administrative and functional activities, puts officials in a favourable position to make a direct contribution to the formulation and wording of policy. Since officials are in constant contact with interest groups and members of the public by means of correspondence, telephone conversations, petitions, interviews, media and memoranda, they remain abreast of needs and problems in the community and can advise councillors accordingly, which in turn has an influence on the formulation of policy.

As a result of the expertise and administrative proficiency of officials, they are often responsible for formulating and composing draft legislation, after which it is considered by the council for approval (Anderson, 1984:54; Kotzè, *et al.*, 1985:17, 68; Van der Merwe, 1988:117-118). Officials' actions in the above regard lighten the workload of councillors. In their official capacity, for example, councillors only have to determine the political implications of policy and ensure that it falls within the political framework of the council (Kotzè, *et al.*, 1985:67).

Final decisions reached by councillors during council meetings in most cases originate from recommendations received from interest groups, individuals, management committee members and officials. Councillors can also reach decisions on policy on the basis of discussions held with members of the public and with regard to which officials have no knowledge. The point of departure during the formulation of policy is the fact that the activities of councillors should at all times be aimed at achieving a predetermined policy objective. Identified needs should therefore be satisfied as thoroughly as possible so as to promote the interests of the community (Kotzè, *et al.*, 1985:18, 64-65).

In the final instance, it is the council of a municipality that reaches final decisions on the formulation of policy during formal council meetings. A decision reached in the above regard is enforceable and executable as soon as the council – as a legislative institution – has accepted it as legislation (Van der Merwe, 1988:99). This issue, i.e. the acceptance and approval of policy, is analysed briefly in the next paragraphs. This discussion is to a large extent only of academic relevance, because it does not form part of this thesis. The policy that is developed in this thesis must, however, be accepted by the relevant municipal councils before it can be regarded as an official policy.

In the Northern Free State municipalities, there is no close contact between officials, members of the public and interests groups. Senior managers and councillors do as they please. Detailed information pertaining to what is really the situation in the three municipalities is outlined in chapter 2, the empirical study and the current management status in the three municipalities.

The researcher focused on the policy, policy-making and the acceptance of the policy, due to the problems identified by the researcher during the empirical study as indicated in chapter 2. This issue, i.e. the acceptance and approval of policy, is analysed briefly in the next paragraphs. This discussion is to a large extent only of academic relevance, because it does not form part of this thesis. The policy that is developed in this thesis must, however, be accepted by the relevant municipal councils before it can be regarded as an official policy.

5.5.3 Policy acceptance

The policy acceptance phase is normally the briefest phase in the policy-making process. Participants in the policy formulation phase should ensure that policy proposals are carefully screened and selected before they are submitted to the council for approval (Anderson, 1984:57, 59). In this way an attempt is made to eliminate all uncertainty and doubt during the policy acceptance phase, which saves

time when the municipal council reaches a final decision to approve a policy (Kotzè, *et al.*, 1985:71-72).

Decisions reached during the policy acceptance phase are known as policy decisions. This means that councillors reach a final decision on whether a specific policy proposal should be accepted or rejected (Anderson, 1976:119,129; Anderson, 1984:60). These decisions differ markedly from decisions reached in the preceding phases. Where decision-making in the previous phases meant a choice between different alternatives – for instance between different policy objectives – decision making during the policy acceptance phase means that one particular policy choice is made because it is believed that such a choice will be to the benefit of the municipality (Anderson, 1984:60). As soon as such decisions have been reached, policy is accepted that is enforceable and binding in the municipality (Van der Merwe, 1988:101).

Finally, councillors – as elected legislators – are responsible for policy acceptance and approval at municipal level. This means that insofar as policy decisions are concerned, they can be held accountable by the community (Kotzè, *et al.* 1985:43-44). The acceptance of policy is the last chance that policy-makers have to make adjustments before policy is implemented.

It is only once a policy choice has been made and policy has been accepted that it can be implemented (Kotzè, *et al.*, 1985:44).

5.5.4 Policy implementation

The implementation phase can be defined as the phase during which policy, which has already been accepted and approved, is implemented (Burch & Wood, 1990:15). Quade (1989:338) defines this phase as a process during which behavioural patterns are changed and adapted so that policy decisions can be executed. Eyestone (1984:271) describes this phase as the development of

techniques, guidelines and procedures to realise policy in practice. Edwards (1984: ix) sees the implementation of policy as the phase that follows once policy has been accepted and before the consequences and effects thereof can be determined. Authors such as Edwards (1984: ix) and Quade (1989:338-339) concur that the implementation of policy is of no value whatsoever if the particular policy fails to resolve or address the original problem. Well-formulated policy that addresses the actual problem is similarly without value unless it is properly implemented (Anderson, 1976:193).

Taking the above into account, it can be deduced that the implementation of policy is just as important during the policy-making process as the preceding phases appear to be. Dror (1986:193) asserts that the true impact, success and consequences of policy setting are influenced and determined by the implementation phase. Harrison (1981:43) goes on to say that the success of policy not only depends on its quality, but is also influenced and determined by its implementation.

The successful implementation of policy will similarly depend on the extent to which plans are made and decisions are reached in bringing the policy to execution. There is no guarantee that policy will have any value or usefulness if it is blindly implemented without being subjected to planned steps or being exposed to alternative methods of implementation, or if no specific persons or organisational units are made available for the implementation (Harrison, 1981:42).

5.5.5 Policy evaluation

The policy evaluation phase is the final phase of the policy-making process and, according to Anderson (1976:259) it is the stage during which the contents, implementation and impact of policy are assessed and valuated. According to Nagel (1984:14), during the evaluation stage it can be determined which policy or decisions delivered the best results and which policy led to the achievement of the goals. Quade (1989:272) describes the evaluation phase as the stage in the policy-making

process during which the consequences of policy in practice, as well as whether the original policy objective has been achieved by means of the relevant policy, can be determined. Quade (1989:272-273) adds to this when he describes the evaluation phase as a process during which a value assessment is conducted. He goes on to say that evaluation not only pinpoints the consequences of policy, but also helps to determine the success of policy.

As mentioned, policy formulation is described as the development of detailed policy (Burch & Wood, 1990:15). This is relevant for this study in that a policy for human resource provisioning must be developed. In the next Chapter a model will be developed which will act as guide in the development of a policy on human resource provisioning in a municipality.

With the policy process as background it is now possible to address the development of a policy for human resource provisioning for the three municipalities. The goal of any policy is to guide the implementers to implement it successfully and a policy must therefore be simple, consistent and easy to use. A policy document should therefore –

1. present statements that address what is the rule rather than how to implement the rule;
2. be readily available to the management as well as employees;
3. as a body, be consistent, logic and ready to serve the municipality and its employees; and
4. be depicted in a model.

5.6 CONCLUSION

The policy-making process is a dynamic one, characterised from the problem and goal formulation phase to the policy evaluation phase, by the reaching of decisions, the planning of activities, and the making of choices between alternatives. This

forms an essential component in the daily activities of a municipality in that the problems identified in a municipality should be addressed by a policy. The apparent ease with which policy-makers set policy is misleading. Policy-making is a complex process due to the fact that the needs of the community must be satisfied, and policy-makers are faced with the problem of scarce resources against the ever-rising needs of the community.

During the problem and goal formulation phases, policy-makers need to determine the problems that are in existence in a municipality and decide which problems need to be included in the policy agenda. This implies that not all problems/needs can be taken into account by policy-makers and that only those problems and needs that enjoy the highest priority are included in the policy agenda. It is only once problems have been included in the policy agenda that policy-makers can formulate policy objectives.

The policy-making process does not end as soon as a policy objective has been formulated. It is also important to determine what will be done and how a policy will be formulated. It is thus necessary during the policy formulation phase to determine the relationship between policy objectives. Interest groups, members of the public, political officials and officers, who are all involved in the formulation of policy, can in this way be made aware of problems that arise during this phase. Participants in the policy formulation phase can be enabled to define *modus operandi* and identify resources (such as staff and finances) for the formulation of policy.

Once policy has been formulated, the next step is to submit it to the policy-makers for approval and acceptance. The policy acceptance phase is the last chance policy-makers have to amend policy proposals before they are implemented as official policy. As soon as policy has been accepted, it is enforceable and binding. As a result of the binding and enforceable nature of policy and the finality of the policy acceptance phase, careful and thorough consideration is given during this

phase to the content of policy proposals so that it can be ensured that the content does indeed address the needs of the community and the identified problem.

When policy has been accepted and approved, the next step in the policy-making process is to implement the policy. The success of the implementation phase is, on the one hand, determined by the extent to which the relevant policy addresses the original policy. On the other hand, the implementation phase is influenced by the way in which policy is implemented. This means that implementers need to plan thoroughly and reach decisions on how the policy will be implemented and who will be involved in this. The implementation phase is important in the policy-making process, because the actual impact and consequences of policy only come to the fore during this phase. It is therefore even more important that implementers pay careful attention to the implementation of policy, consider alternative methods of implementation, and identify persons to be involved in the implementation of policy.

The policy evaluation phase is seen as the final phase in the policy-making process. This is the phase during which the impact of policy is assessed. It is a complex phase during which various problems are identified. Policy evaluators often lack sufficient information to properly evaluate policy and continually have to contend with the demands of the changing environment. In order to eliminate this problem, evaluators should plan for the evaluation of policy and take into account changes within the organisational environment. For example, it should be determined how the evaluation will take place and how many resources will be used for the evaluation. However, the evaluation phase is only given real meaning and value when evaluation outcomes are made known to interested parties and when the extent to which the original problem was resolved by the particular policy is made public.

The next Chapter will focus on policy for human resource provisioning.

CHAPTER 6

POLICY FOR HUMAN RESOURCE PROVISIONING

6.1 INTRODUCTION

Municipalities are constantly challenged, in a changing external environment and due to internal environmental factors (such as organisational structures and poor internal organisational arrangements), to organise their human resource provisioning functions in a meaningful way. The above situation is made difficult in the Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe due to the fact that, as mentioned, there is no uniformity in the governance and management of human resource provisioning activities. This demands that the three municipalities must be proactive and innovative in this regard. One way in which proactive and innovative behaviour can be brought about is by drawing up a policy model for human resource provisioning.

It has been indicated in chapter 2 that the three Northern Free State municipalities' human resource personnel and senior managers did not know what had to be done in order to change the situation regarding flaws in their current human resource provisioning activities. It was further highlighted in the empirical study that senior managers did not know the steps or actions that had to be taken to rectify unsound human resource provisioning activities and how policies could be amended to secure sound human resource policies in the municipalities. As a result of this situation it is necessary to compose a model to address the problem of a flawed and fragmented policy for human resource provisioning in the three Northern Free State municipalities. The policy model presents actual theoretical and scientifically founded guidelines without which the three municipalities would not be able to create a uniform policy.

Taking this unhealthy situation prevailing at the three municipalities into account, it is the intention of the researcher to use a policy model to explain, arrange, interpret

and organise the information gathered during the empirical study so that meaningful decisions in respect of policy matters can be made on the basis thereof. In this chapter, information included in the preceding chapters is explained, arranged, interpreted and organised on the basis of the proposed policy model. This proposed policy model is attached to the thesis as appendix D. The three Northern Free State municipalities should then be able to make meaningful decisions for their human resource provisioning.

In order to create a model at the hand of which a policy for human resource provisioning for the three Northern Free State municipalities can be developed, a better understanding of the aim of a policy model must be cultivated, and a concept definition is the **first step**. The usefulness of policy models is analysed as a **second step**. The usefulness of a policy model can be predicted, assessed and enhanced on the basis of certain criteria. The **third step** is the identification of such criteria, as they can also be applied as scientific and theoretical guidelines in the creation of a policy model (McBride, 1994:193).

Taking into account the usefulness of policy models and the role played by criteria in determining the value of policy models, a policy model for the creation of a human resource provisioning policy for the three Northern Free State municipalities is created as the **fourth step**. The policy model offers a scientific and theoretical framework according to which uniform policy can be determined and by means of which problems in terms of the implementation of uniform human resource provisioning policy for the three municipalities could be addressed. The policy model, due to its universal usefulness, will also attempt to present a framework for other municipalities to develop their own policies on human resource provisioning.

The compilation of a policy based on legislation is discussed next.

6.2 COMPILATION OF A POLICY (PHASE ONE): LEGISLATION

The first phase of a policy has to do with the identification and presentation of relevant legislation (see Chapter three for an in depth discussion on legislation). A brief identification of the legislation will be presented in the next section for the purpose of clarity.

6.2.1 The Constitution on human resource provisioning

The primary guidelines on human resource management can be found in the Constitution. Chapter 10 of the Constitution, Section 195, states the following principles:

1. Good human resource management and career-development practices must be in place to maximize human potential.
2. Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.

6.2.2 Reconstruction and Development Programme (RDP)

The *White Paper on Reconstruction and Development,* 1994 (based on the Interim Constitution) states that government institutions must pay attention to the development of human resources. The Constitution and Reconstruction and Development Programme laid the foundation for other legislation to follow on human resource provisioning and should form part of a human resource policy.

According to Van der Westhuisen, (2000.87) the following legislation has also, one way or the other, an influence on human resource activities.

6.2.3 *Labour Relations Act*, 1995 (Act 66 of 1995)

This LRA gives an indication of how permanent employees in a municipality should be handled when grievances occur regarding the employment of new employees, should such grievances occurs. Grievances may, for instance, occur when an employee in the municipality, who expects promotion into a senior position, learns that an applicant from outside the municipality is selected to fill the vacancy.

6.2.4 *Basic Conditions of Employment Act*, 1997

The BCEA, 1997 gives effect to the right to fair labour practices, referred to in Section 23 (1) of the Constitution, by establishing and making provision for the regulation of basic conditions of employment. Du Plessis, *et al* (2001:39) state that the BCEA is of considerable importance for the day to day administration of personnel matters, since it sets minimum standards for the protection of employees in the absence of other protective measures.

6.2.5 *Employment Equity Act*, 1998 (Act 55 of 1998).

The EEA focuses on the eradication of unfair discrimination in any form of hiring, promotion, training, pay, benefits and retrenchments in public institutions and private organizations. It furthermore outlines measures to encourage employers to undertake organisational transformation and to speed up the appointment, training and promotion of individuals from historically and previously disadvantaged groups (Nel, 2002:96).

6.2.6 *White Paper on Human Resource Management in the Public Service*, 1997

The White Paper constitutes that the Public Service must be staffed by career employees who will be provided with opportunities for professional advancement

and personal development. Open competition and more innovative recruitment practices must open the Public Service for the public and must ensure the inclusion of all sections of society.

6.2.7 *White Paper on Human Resource Planning*, 1997

Human resource planning is essential in order to ensure that a municipality's human resources are capable of meeting its operational objectives. Human resource planning must ensure that a municipality –

1. obtains the quality and quantity of staff it requires;
2. makes the optimum use of its human resources;
3. is able to anticipate and manage surpluses and shortages of staff; and
4. develops a multi-skilled, representative and flexible workforce, which enables the organisation to adapt rapidly to a changing operational environment.

6.2.8 *White Paper on Recruitment,* 1997

Effective recruitment is one of the most important ways in which a municipality can meet its human resource capacity requirements. It is also the prime instrument for achieving employment equity, by opening up a municipality to all sections of society. In drawing up their recruitment policies and procedures, targets should therefore be set for achieving specified employment equity objectives, and in particular for achieving race, gender and disability balance, as well as for achieving the skills necessary to meet the departments' operational needs.

6.2.9 *White Paper on Selection*, 1997

Selection on merit is fundamental to ensuring that a municipality recruits and promotes people of the highest calibre. The aim is to ensure that the person selected is the person best suited for the position, on the basis of his/her skills,

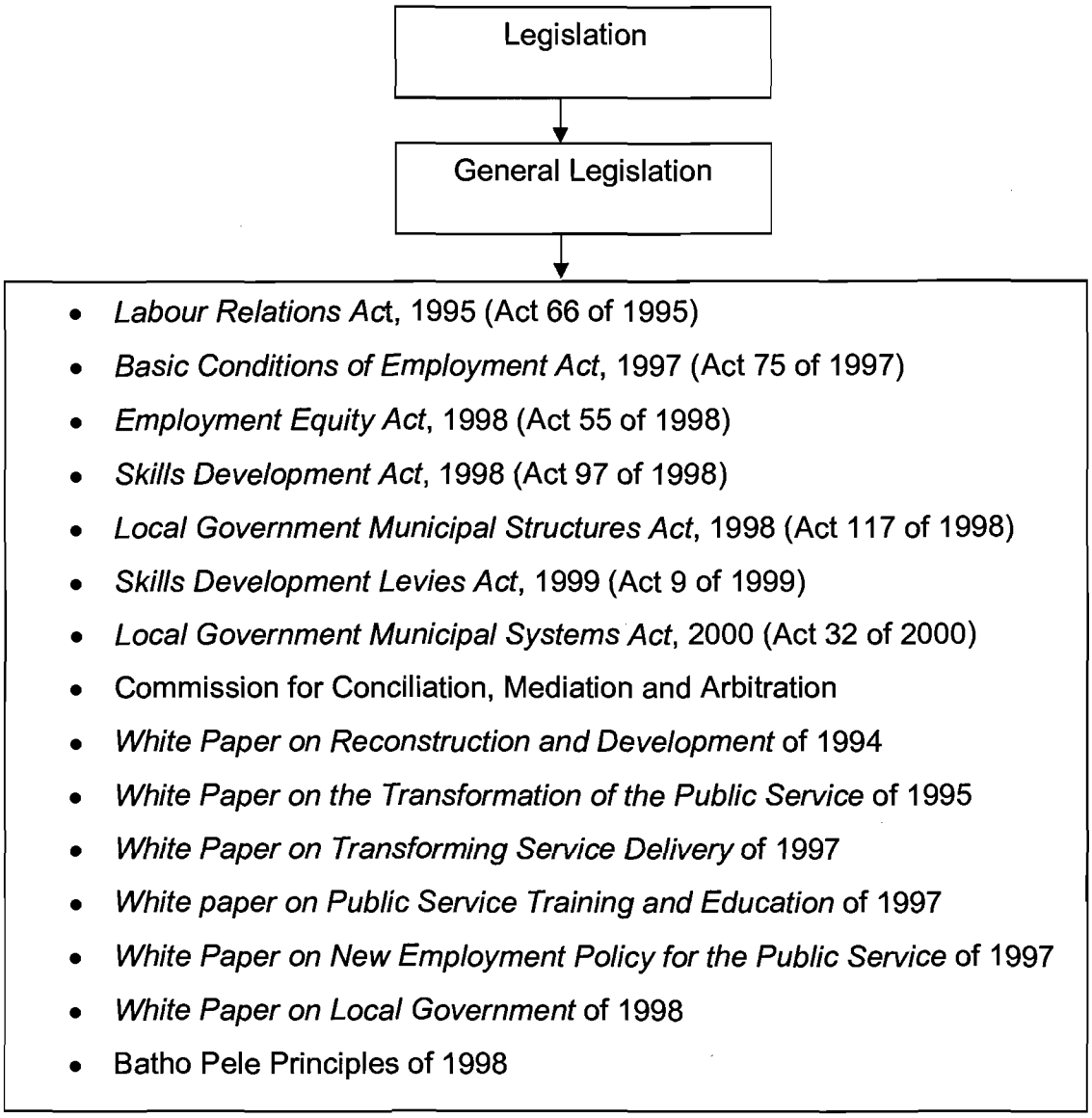
experience, abilities, personal attributes, future potential as well as the need to achieve a representative and a diverse workforce in a municipality.

An analysis of this legislation (Chapter 3), together with the results of the qualitative study (Chapter 2), indicates that the three municipalities are in dire straights to line their human resource activities with legislation. The respondents in the study indicated that the contents of legislation are ignored by councillors and senior management and those policies are not aligned with legislation. Chapter 3 indicated that legislation is the point of departure or foundation of policy-making and the compilation of a policy are thus ignored by the policy-makers at the three municipalities.

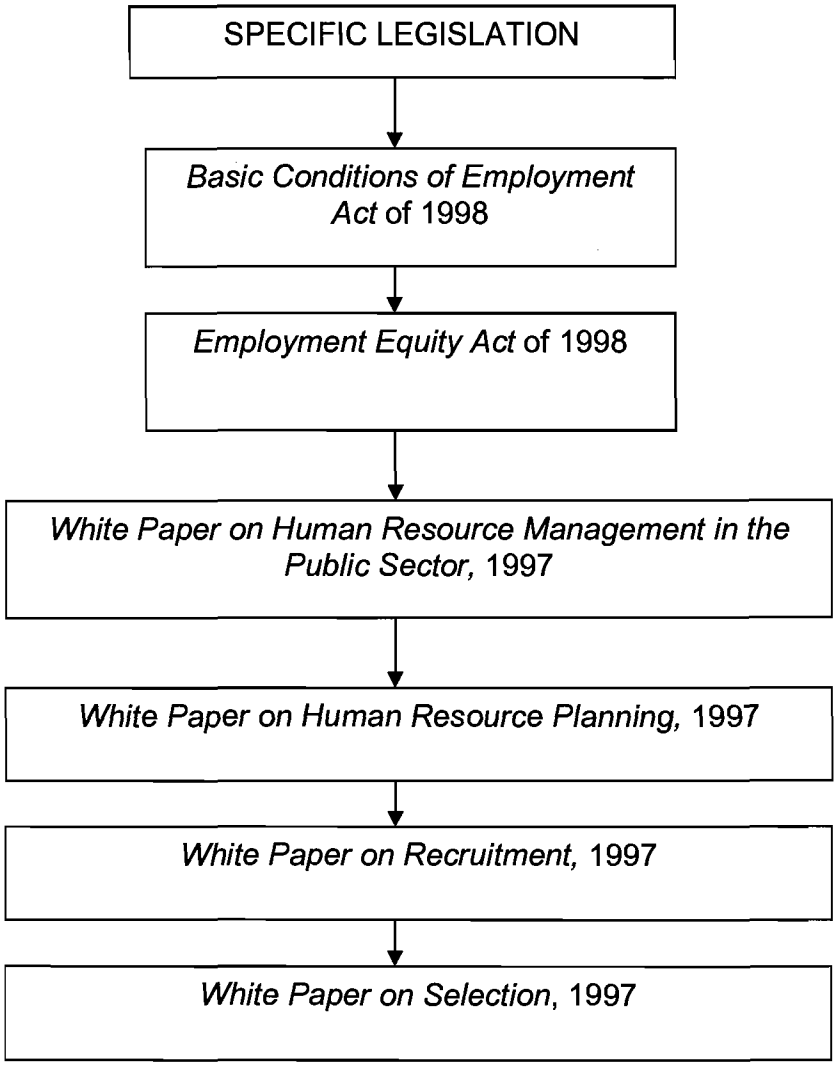
The first phase should be depicted prominently in a policy document and when a policy is compiled legislation should guide the actions of policy-makers. The following framework is relevant to policy-makers in the three municipalities and for that matter other municipalities as well.

Diagram 6.1 illustrates the policy framework for phase one (legislation).

Diagram 6.1: POLICY FRAMEWORK FOR PHASE ONE: LEGISLATION



The policy framework for phase one (legislation) is continued on the next page:



(Source: Chapter 3 of this thesis)

As mentioned no policy for human resource provisioning should be compiled without taking this legislation into account. Legislation will guide the rest of the policy.

6.3 COMPILATION OF A POLICY (PHASE TWO): PLANNING, JOB ANALYSIS, RECRUITMENT AND SELECTION

With the legislative section of a policy in place the rest of the policy for human resource provisioning can be compiled, which consists out of human resource planning, job analysis, recruitment and selection (Botes, 1978:41-42).

6.3.1 Policy on human resource planning

Human resource planning forms an important and pivotal part of the human resource provisioning policy. French (1990) states that planning for human resource provisioning is the process of assessing the organisation's human resource needs and making plans to ensure that a competent, stable work force is employed to reach goals. Pieters (2001:32) states that planning for human resource provisioning is an effort to anticipate future business and environmental demands in an organisation/municipality and to provide the personnel to deliver effective service delivery.

A human resource planning policy should include the following aspects (Amos, Ristow & Ristow, 2004:25-26):

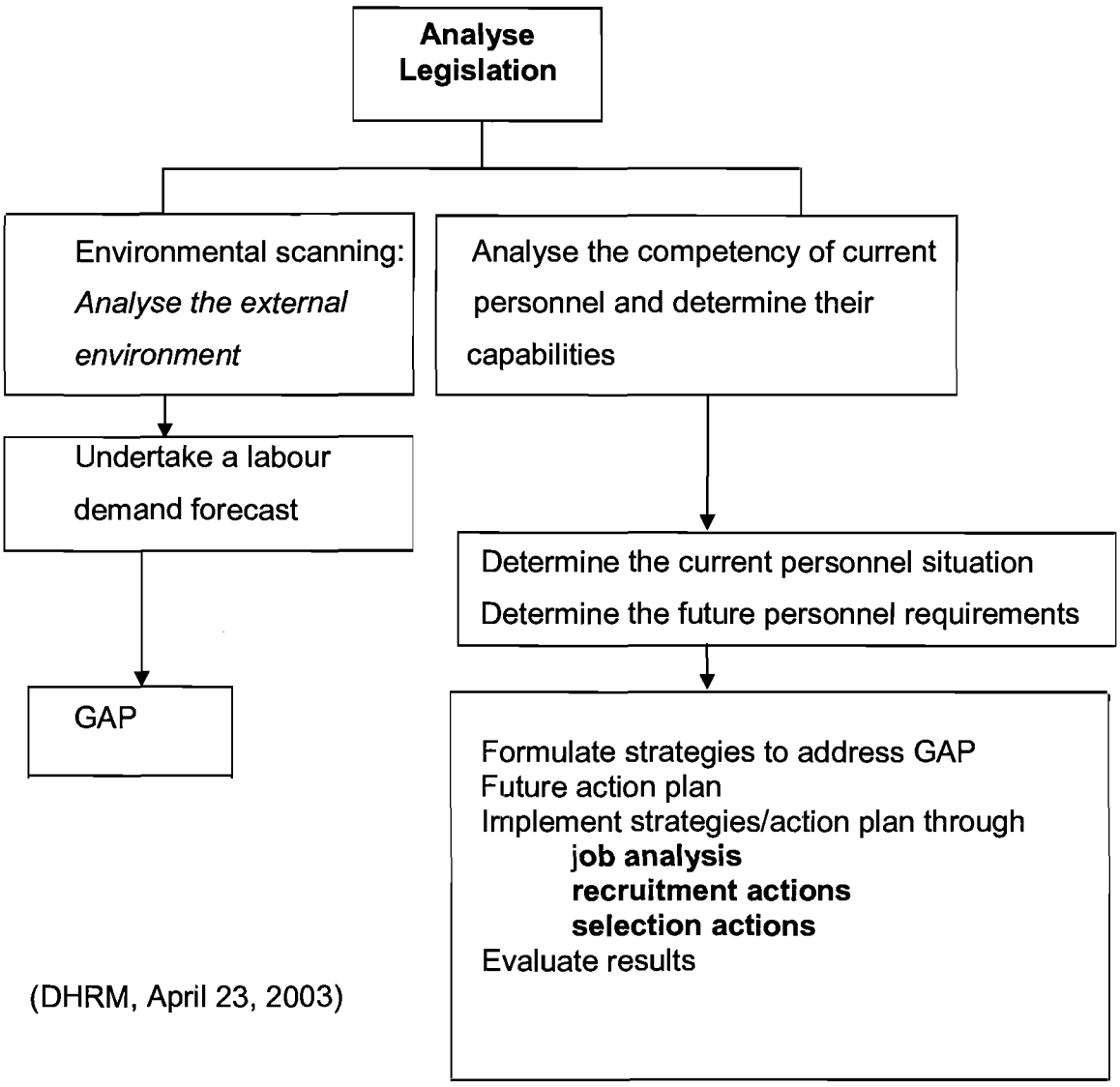
1. An analysis of all legislation that is relevant to human resource provisioning.
2. An analysis of the external environment to determine the trends in the local labour market, both locally and globally.
3. Analysing the current human resource competency and human resource capability within the municipality. This must include the current staff complement and their competencies and potential levels.
4. Undertake a labour demand forecast (project how business needs will affect human resource needs, using qualitative methods and quantitative methods).
5. Determine the current personnel situation and the future requirements. The difference between the current personnel situation and the future

requirements can be expressed as a *GAP* between what the organization currently requires and what exists.

6. Formulating and implementing strategies to address any gaps. Human resource planning needs to correct the situation by implementing the strategies to ensure that the required staff is available when needed.

Diagram 6.2 below illustrates planning for human resource provisioning (Step one):

Diagram 6.2: Planning for human resource provisioning (Step one)



(DHRM, April 23, 2003)

To determine whether the three municipalities adhere to the guidelines set out regarding human resource planning, specific questions, deducted from Diagram 6.2 should be asked by them (the three municipalities).

6.3.1.1 Key questions to be asked regarding the current personnel situation

Questions to be asked regarding the current personnel situation are the following (DHRM, April 2003:3):

1. Does the municipality have a sound knowledge of current human resource provisioning legislation?
2. Does the municipality have a comprehensive workforce planning programme that linked the municipality's strategic plan?
3. Does the municipality gather and analyse demographic workforce indicators, for example information on personnel turnover, years in service, educational levels, age, race and sex?
4. Does the current workforce have adequate skills and competencies to accomplish their objectives in the municipality?
5. Has the municipality been able to recruit and retain talent competitively?
6. Does the municipality maintain a formal succession plan that identifies the key positions and potential successors?
7. Are there any excessive turnovers that indicate workload problems or organisational problems?

The qualitative study was clear on all these questions, namely that not one of the three municipalities could answer positively on any of these questions. Without proper planning for human resource provisioning, such as future personnel needs, human resource departments will function ineffectively. This is especially the case at Moqhaka municipality where only two human resource personnel must administer the municipality's human resources.

6.3.1.2 Key questions to be asked regarding the future situation

Questions to be asked regarding the future personnel situation are the following (DHRM, April 2003:3):

1. Does the municipality have a sound knowledge of possible future human resource provisioning legislation?
2. Does the municipality anticipate any expansion of current programmes that will have an influence on human resource provisioning?
3. Will current service delivery activities change in future?
4. What new skills or core competencies will the workforce need in future? What specific training needs will develop in future?
5. Will the municipalities' financial resources be in future adequate to address human resource needs?

It is also clear the human resource personnel of the three municipalities regard the future development of their field of expertise not as positive. The future situation of their discipline is in the hands of internal politics and policy-makers seemingly disregard the importance of human resources.

6.3.1.3 Key questions to be asked to address the GAP between the current situation and the future situation

Questions to be asked regarding the filling of the GAP are the following (DHRM, April 2003:3):

1. How will the anticipated demand for service delivery impact the size, skills and competencies of the current workforce?
2. Does the municipality currently project losses in workforce due to retirements and persons leaving the workplace for any other reason?
3. What are the talents outside the municipality who can fill any vacancies?

These aspects are not being addressed by the municipalities and the human resource personnel are in the dark regarding how the GAP between present and future will be addressed.

6.3.1.4 Questions on the formulation of a plan/strategy to address the GAP between the current situation and the future situation

Questions to be asked regarding the formulation of a plan or strategy to address the GAP between the current situation and future situation (DHRM, April 2003:3):

1. What strategies should the municipality develop and implement to eliminate the GAB in workforce planning?
2. Were the key stakeholders in the municipality apprised of concrete needs for change in the workforce?
3. Were all stakeholders consulted in the change process and did they have the opportunity to take part in all future planning's actions regarding human resource provisioning?
4. Have adequate timelines been set to implement the municipalities' workforce plan?
5. Are all departments in the municipality aligned with the new plan?

The human resource personnel are not sure of any plan of action to address human resource problems; neither do they form part in any planning actions for the future. According to the personnel, this is also the case with committees on human resource aspects.

6.3.1.5 Questions on the implementation of a human resource provisioning plan

Questions to be asked regarding the implementation of a human resource provisioning plan are the following (DHRM, April 2003:3):

1. Has the municipality allocated the necessary resources (such as funds) to ensure an appropriate response regarding human resources?
2. Has the municipality assigned responsibilities and provided role clarity in carrying out the plan?
3. Does the municipality have a plan to conduct periodic monitoring to measure progress?
4. Has the municipality designed and planned a comprehensive communications programme to implement the efforts?
5. Do all the employees understand the action plan regarding human resource provisioning in the municipality?

The fact that planning for human resource provisioning is of low priority, means that no action plans exist that could be implemented.

6.3.1.6 Procedures to implement human resource planning activities

The following action steps are relevant to establish the human resource provisioning plan:

1. Maintain an employee skills inventory and monitor systematically to support developmental initiatives and match against internal skills requirements.
2. Review recruiting efforts and identify hard to fill positions.
3. Ensure municipalities' succession planning efforts are accurate for the future.
4. Plan new programmes for human resource provisioning.

5. Identify and plan for short and long-term competencies that are necessary to meet future objectives.
6. Involve all employees in the development of plans.
7. Review recruiting efforts.

The purpose of planning for human resource provisioning is thus to determine what the current situation is in human resources in an institution and where the institution is heading. With a sound knowledge of legislation, the environments, GAP between current and future situation and strategies to address GAP policies can be determined to undertake job analysis, recruitment and selection.

6.3.2 Policy and action steps on job analysis

Job analysis is the basic process on which most other human resource activities depend. Its aim is to provide personnel officials with detailed information about the contents of jobs. This information is important to secure effective recruitment and selection (Rothwell & Kazanas, 2003:66).

Rothwell & Kazanas (2003:66) state that job analysis provides the basis for establishing or reassessing the following:

1. How should the overall tasks of the organisation be divided into entities like divisions, departments, work groups and jobs?
2. How should tasks be clustered in positions, jobs and job families?
3. How should authority for decision-making be allocated?
4. How reporting relationships should be established? How many and what kinds of people should report to each superior?
5. How should disadvantaged groups be represented in various jobs and job families?
6. How should measures be created over time to assess individual performance, group performance and organisational performance?

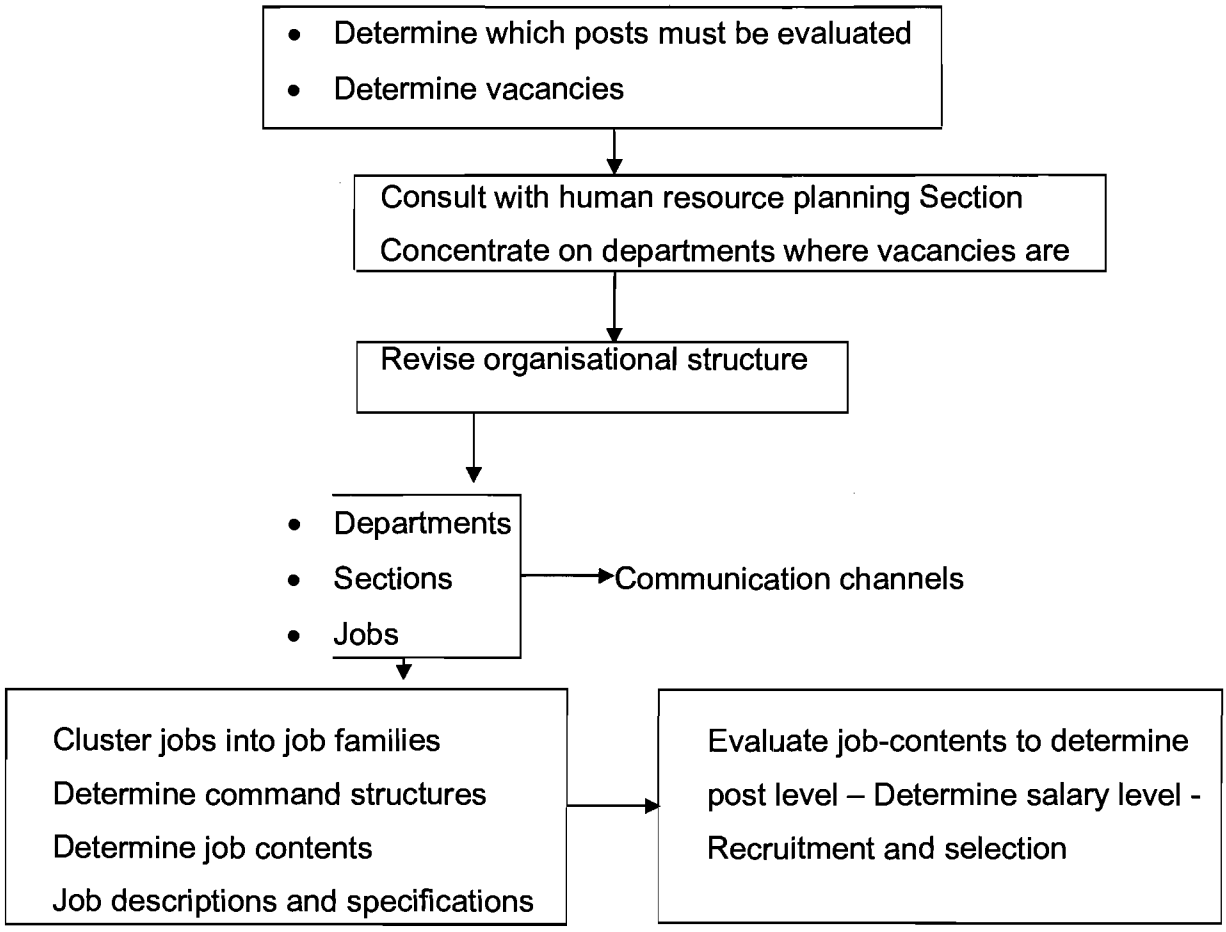
7. How should individuals prepare themselves to realise career aspirations?
8. How should people be selected for jobs? How does a job constrain the kind of people appropriate for it?
9. How should GAP's between actual and required knowledge, skills and abilities be rectified over time? How should people be prepared for high level responsibilities and upward mobility or lateral mobility?
10. How should interpersonal relationships be handled between those in the same or different jobs, considering the potential conflict stemming from different values, goals and objectives? What relations should exist within and between groups?
11. How should conflicts be handled between individuals and between individuals and job requirements?
12. How should people be rewarded?

The qualitative study reveals that not one of the three municipalities comprises of a policy for job analysis. This means that not one of the preceding questions can be answered by the municipalities. The municipalities should address these questions in a policy, but the shortage of personnel will hamper this endeavour severely. It is also a symptom of poor planning, as discussed previously.

6.3.2.1 Policy framework for job analysis

The following broad job analysis framework should form part of the human resource provisioning policy, and diagram 6.3 illustrates the human resource provisioning policy (job analysis):

Diagram 6.3: Human resource provisioning policy: Job analysis



(Rothwell & Kazanas, 2003:68)

The policy framework for recruitment is discussed next.

6.3.3 Policy framework for recruitment

Recruitment activities must stipulate broad guidelines on the way in which a municipality intends to deal with recruitment. Aspects that must be addressed in a policy are to indicate the institution's position concerning the general objectives of recruitment and the principle of equal job opportunities in recruitment. In keeping with these objectives, one has to undertake the following steps (Erasmus, *et al*, 2005:207):

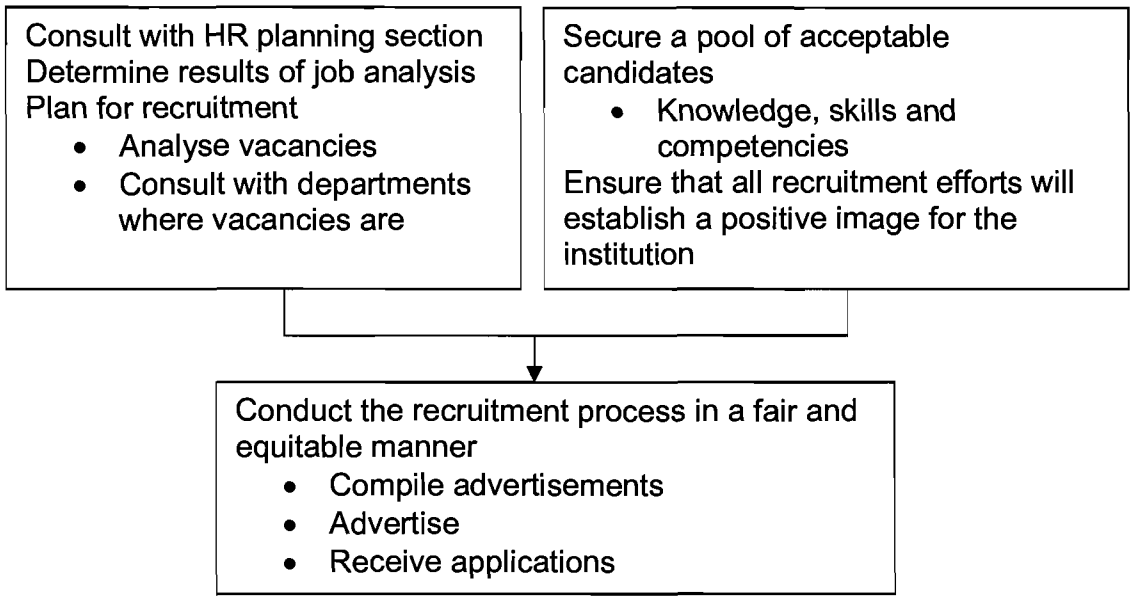
1. Secure a pool of acceptable candidates for the vacancies.
2. Ensure that all recruitment efforts will establish a positive image for the institution.
3. Make sure that all recruitment activities are efficient and cost-effective.
4. Conduct the recruitment process in a fair and equitable manner.
5. Enable the institution to attract those potential employees who have the necessary knowledge, skills and competencies relevant to the requirements of the post.

The only way of ensuring that the recruitment process achieves institutional objectives is to develop and implement appropriate policies and procedures.

6.3.3.1 Framework for job recruitment

The following broad job analysis framework should form part of the human resource provisioning policy, and diagram 6.4 illustrates a framework for job recruitment:

Diagram 6.4: Framework for job recruitment
(Meyer 2003:15)



All the three municipalities do have recruitment policies. Further these policies are relatively up to date, but the effective implementation thereof is not effective. The reason for this is the interference of internal politics where employees are hand picked by politicians to fill vacant positions. A mind change is therefore necessary to rectify the situation, but with politics so important on municipal level at present, the immediate solving of the problem is poor.

Selection as a process of determining which applicants may best match particular jobs is discussed next.

6.3.4 Selection

The absence of clear selection guidelines will hamper any selection effort and may even lead to the collapse of the process. Every effort should be made by a municipality to design and implement an appropriate policy and procedure for selection. Good selection policies and procedures will provide guidance to those involved in the selection process and make them confident that they are following the tenets of best practices Foot & Hook (1996:79).

Erasmus *et al* (2005:235) state that good selection policies and procedures should, at the minimum, include the following:

1. Prescribed selection principles.
2. Set entry requirements.
3. Prescribed qualifications for appointment.
4. Steps, methods, and techniques to be used.
5. Personnel to be involved in assessing candidates.
6. The relevant administrative procedures (e.g. record keeping).

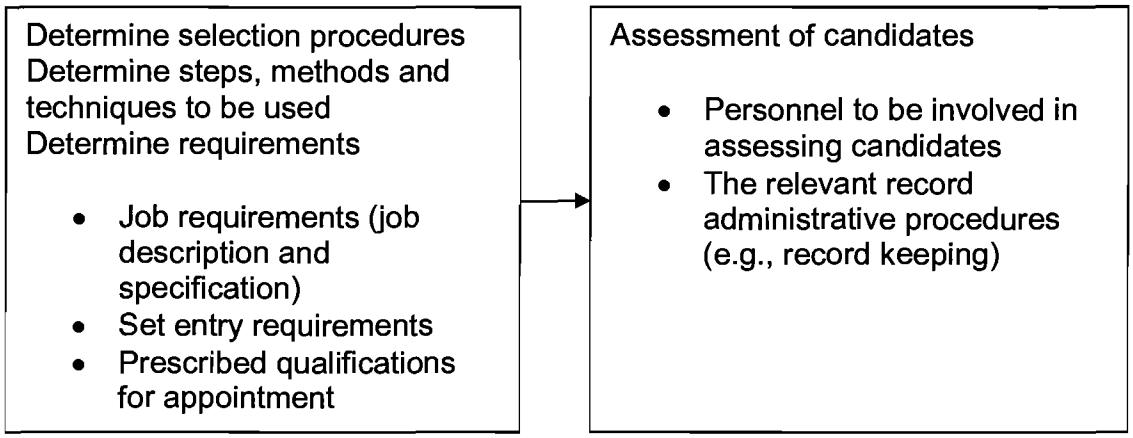
The major problem in this regard is that human resource personnel are de-motivated and have low morale because of the interference of politics in selection.

The personnel do have the knowledge on selection principles, but in many instances they ignore it because appointments are made even before the official selection process started.

6.3.4.1 Framework for selection

The following broad framework for selection should form part of the human resource provisioning policy, and diagram 6.5 illustrates the framework for selection:

Diagram 6.5: Framework for selection



(Foot & Hook 1996:78)

A selection procedure that does not include specified selection principles runs the risk of being confronted legally. A variety of principles should be taken into account to ensure that the whole field is covered (Foot & Hook, 1996:79).

6.4 DEVELOPING A HUMAN RESOURCE MANAGEMENT STRATEGY

The discussed policy for human resource provisioning cannot be implemented overnight. Achieving fundamental, enduring changes of the kind that are needed will require concerted efforts by many people over a protracted period. Political interference, for instance, will not disappear overnight. A process of education is

necessary to change the attitudes of policy-makers such as councillors. Nevertheless, implementation will be achieved more quickly and effectively if it is approached in a systematic manner. The key steps to implementation include the following:

1. Driving the policy

The council and heads of department should issue a clear human resource policy statement on behalf of the executive authority (who is ultimately responsible for the efficiency and effectiveness of the organization), and provide strong leadership to ensure that the policies are put into practice (Gartenberg, 2006:3).

2. Clarifying roles and responsibilities

All line managers and human resource practitioners should be fully informed of their respective human resource management responsibilities, and of how their performance will be assessed in relation to these. Employees at every level should be informed about how the new approach to human resource management will affect them, and the roles they are expected to play (Gartenberg, 2006:9).

Heatfield (2006:45) states that with heads of department, human resource managers, human resource practitioners and every employee on board, a comprehensive human resource audit should be undertaken to identify the GAP between current human resource management policies and practices and those which will be introduced. The audit should cover, among other things, the following:

1. Human resource planning and information systems.
2. Human resource management organisation and structures.
3. Human resource management skills.

A comprehensive strategy should be drawn up to close the GAP between existing policies, practices and capacity as against those with regard to the future needs of municipalities. The strategy should include the following:

1. Clearly articulated objectives, aligned to the organisation's strategic and operational goals.
2. Time-bound targets for the transformation of individual human resource management practices.
3. Assignment of responsibilities and resources for implementation.

Implementation of the strategy should be continuously monitored and evaluated, in order to ensure that targets are met and that policies and practices are improved in the light of experience. Reddy (1996:117) indicates that there are specific symptoms noticeable when an organisation/municipality does not pay specific attention to legislation when planning, recruiting and appointment processes are not in place.

6.5 TOWARDS A MODEL TO ASSIST IN THE IMPLEMENTATION OF THE POLICY MODEL

A model can be described as the formalisation of concepts that summarise a phenomenon and which provides explanations there-of. It also provides predictions for future actions (Graziano & Raulin, 2004:37).

A model can be regarded as a theory, but is somewhat less developed than a formal theory. A model can be referred to as a *mini-theory.* With the recent trend to model driven development a commonly agreed notion of a "model" becomes a pivotal issue. However, currently there is little consensus about what exactly a model is and what it is not. It can be regarded as an interpretation of a theory, such as theories on human resource provisioning as discussed in Chapter 4. Anytime a "new" research area gains momentum the task of defining its central notions needs to be

addressed. In politics/public administration model is a tool to assist in the implementation of a policy.

According to Stachowiak (1997:375) a model is a map of the feature, based on an original situation, and according to Steinmuller (1993) a model is information –

1. on something (content, meaning such as the human resource provisioning process);
2. created by someone (sender/this study);
3. for somebody (receiver/the three Northern Free State municipalities); and
4. for some purpose (usage context/to develop a human resource provisioning policy).

The above characterisations are in accordance with the following definition from Webster's new encyclopaedic dictionary [2]:

> *A model is a small, but exact copy of something;*
> *a description or analogy used to help visualize something that cannot be directly observed;*
> *a pattern or gesture of something to be made; and*
> *a theoretical projection of a possible or imaginary system.*

With this in mind the contents of a model for a human resource provisioning policy will be undertaken in the next Chapter.

6.6 CONCLUSION

The policy-making process to develop a human resource provisioning policy is a dynamic process.

It has been indicated that for municipalities to plan for, recruit and select competent employees. For these employees to be productive and act according to the rules and regulations governing the employer and the employees, it is important to be conversant with Chapter 10 of the Constitution. Chapter 10 states that the Public Service/ Administration must function, and be structured, in terms of national legislation, and must loyally execute the lawful policies of the government of the day and that good human resource management and career-development practices, to maximise human potential, must be cultivated.

A statutory and regulatory framework for human resources in local government has been analysed, and without an in-depth understanding of such a framework, the local government will be unable to plan, recruit and select efficient, effective, capable and potential employees in order to provide effective services to the communities.

The EEA strives, for instance, for the eradication of unfair discrimination in any form of hiring, promotion, training, pay, benefits and retrenchments in public institutions and private organisations.

The BCEA, 1997 gives effect to the right to fair labour practices referred to in section 23(1) of the Constitution, by establishing and making provision for the regulation of basic conditions of employment, and thereby to comply with the obligations of the Republic of South Africa as a member state of the International Labour Organisation. The LRA gives effect to section 27 of the Constitution, regulates the organizational rights of trade unions, promotes and facilitates collective bargaining at the workplace and at sectoral level, and creates a framework in which labour disputes are dealt with.

The *White Paper on Human Resources Management in the Public Sector,* 1997 and other White Papers mentioned in this chapter, set the tone for the public and private sector to adhere to the national policies on planning, recruitment and selection of

employees, who are knowledgeable and conversant with the vision, mission and objectives of the Public Service, especially local government, as the level of government which is at the grassroots level, closer to the people. The principles to be adhered to, for developing a policy for the municipality will be discussed in the next chapter.

Human resource planning helps towards human resource provisioning in the local government, as it reconciles the demand for and supply of labour. It also assesses the organisation's human resource needs in light of goals and making plans to ensure that a competent and stable workforce is employed The organisation is better equipped to cope with the human resource consequences of changed circumstances and decisions can be taken unhurriedly and by considering all relevant options, rather than being taken in crisis situations.

Job analysis helps towards human resource provisioning in local government in that it focuses immediately on the essential requirements for effective performance, provision of the criteria for defining and assessing standards of potential and actual performance. It has been noted that job analysis helps to review whether the formal qualifications and experience often associated with a particular role are, in fact, required and it further produces a person's specifications that truly and fairly state what the job requires.

Recruitment strives to identify and provide, in a cost-effective manner, a pool of job applicants who are potentially qualified to do the job, and it builds the organisation's capability in a changing market place. Recruitment brings into the organization skills and experience that cannot be easily built from within. Further, effective recruitment can assist the selection process by reducing the number of candidates who are suitable for a position. Selection determines which individuals may best match particular jobs in the public sector institutional context, taking into account individual differences, the requirements of the job and the institution's internal and external environments. Selection implies a focused choice among alternative candidates for

employment based on some established criteria, and it is important to know the skills, knowledge, experience and attributes required for effective performance.

The next Chapter addresses human resource provisioning problems at the hand of a model.

CHAPTER 7

ADDRESSING HUMAN RESOURCE PROVISIONING PROBLEMS AT THE HAND OF A MODEL

7.1 INTRODUCTION

Municipalities are constantly challenged, in a changing external environment and due to internal environmental factors (such as organisational structures and internal politics) to their human resource provisioning activities in a meaningful way. The above situation is made difficult in the Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe, as revealed in the results of the qualitative study, due to ineffective human resource provisioning activities and poor policies. This demands that the three Northern Free State municipalities must be proactive and innovative in addressing the problems. One way in which proactive and innovative behaviour can be brought about is by addressing the problems at the hand of a model. This may be at the hand of a new model, or the refining of an existing model.

The policy model must present guidelines to the three Northern Free State municipalities to address their problems with success. Taking this into account, it is the intention of a policy model to explain, arrange, interpret and organise the information gathered so that meaningful decisions in respect of human resource provisioning and policy matters can be made on the basis thereof. In order to create a model at the hand of which a policy for human resource provisioning for the three Northern Free State municipalities can be developed, a better understanding of the aim of a policy model must be cultivated, and a concept definition is the **first step**. The usefulness of policy models is analysed as a **second step**. The usefulness of a policy model can be predicted, assessed and enhanced on the basis of certain criteria. The **third step** is the identification of such criteria, as they can

also be applied as scientific and theoretical guidelines in the creation of a policy model (McBride, 1994:193).

Taking into account the usefulness of policy models and the role played by criteria in determining the value of policy models, a policy model for the creation of a human resource provisioning policy for the three Northern Free State municipalities is created as the **fourth step**. The policy model offers a scientific and theoretical framework according to which, as mentioned, a policy can be presented by means of which problems in terms of the implementation of a human resource provisioning policy for the three municipalities could be addressed.

Each phase of the policy model is being discussed in depth, after which the discussion is converted into a diagram. The diagrams form the actual policy model that can be utilised by the three municipalities.

7.2 DEFINITION OF THE TERM MODEL

A model is a type of theory. Any phenomenon can be represented by a model. In science a model is a 'miniature' representation of reality. It helps scientists to understand something usually complex. Scientists can also generate new ideas from the model (Graziano & Raulin, 2004:39).

A model can be defined as a simplified representation of selected aspects of a problem and is intended to suggest certain steps (methods) on the basis of which identified problems can be addressed (Dunn 1994:152). Moreover, a model is described as an abstract representation of the actual situation with the purpose of describing, explaining and predicting a given situation (Harrison 1981:495). Models therefore suggest possibilities on the basis of which a given situation or problem can be resolved. A model may create a scientific and theoretical basis for the creation of policy (Quade 1989:137,144).

A model is also a pattern, plan, representation, or description designed to show the structure or workings of an object, system, or concept, and models serve a number of purposes (http://en.wikipedia.org/wiki/Mdels):

1. They are valuable tools in order to assess the relevance of existing systems, rules for description, information and data and to present improvements on the current situation.
2. They are intended to convey a common conceptualisation of phenomena through which it is possible to develop future actions towards a common goal.

For the purpose of this study a model can be regarded as a tool to describe a current situation, such as human resource provisioning and policies in this regard, and to present improvements to that situation if necessary.

7.3 USEFULNESS OF POLICY MODELS

The usefulness of a policy model lies **firstly** in the comprehensibility of such a model. The value of a model involves, amongst other things, the fact that problems identified in the external environment and problems that have developed due to internal environmental factors (such as organisational structures and internal political arrangements) are made comprehensible. Problems can then, within the framework of a policy model, be differentiated from less-important problems and analysed (Dunn 1994:152). Moreover, policy models offer a reference framework within which identified problems can be addressed and solved (Harrison 1981:388).

Secondly, policy models can be of value when predictions are made with regard to future events (Greenberger, Crenson & Crissey 1976:24). Such predictions are based on current and historic policy problems in this regard that are collected and reflected in a policy model (Dunn 1994:190). On the basis of policy development, current organisational arrangements that apply to human resource provisioning and relevant information included in a policy model, the three Northern Free State

municipalities can make predictions in terms of uniform policy for the implementation of uniform human resource provisioning policies. It can be predicted, for example, that uniform policy can lead to the elimination of fragmented human resource provisioning.

Thirdly, in addition to the predictive value of policy models, they can also have training value. Policy-makers can be trained, on the basis of a policy model, in the art of affective and efficient policy-making. The innovativeness of policy-makers can be stimulated in terms of solving policy problems and they can develop a better understanding of the causes and consequences of policy problems (McBride, 1994:196).

The usefulness of policy models lies further in the fact that they can predict, assess and enhance on the basis of certain criteria (Dye 1992:44). It is therefore necessary to analyse the criteria for effective policy models. This can promote the usefulness and effectiveness of a policy model for the addressing of human resource provisioning activities and policies for the Northern Free State municipalities.

7.4 CRITERIA FOR THE CREATION OF POLICY MODELS

Criteria are described as measuring sticks that can be used to determine the extent to which a certain goal has been achieved. Moreover, predictions about certain matters, such as the usefulness of policy models, can be made on the basis of criteria (Quade 1989:97). Due to the measuring and predictive value of criteria, it is important to identify criteria regarding policy models.

Criteria such as comprehensibility, equilibrium and balance, essence or core of the problem, reconcilability with the actual situation, and meaningfulness of communication should be taken into account when composing a policy model (Dye 1992:44, 45; Odendaal 1995, 196; Starling 1988:158,159). These criteria are analysed in more detail below.

7.4.1 Comprehensibility

Comprehensibility means that a policy model reflects a comprehensive version/picture of the actual situation (Dye 1992:44). Due to the complex nature of the external environment and the internal environment within which human resource provisioning (in the Northern Free State municipalities) is implemented and executed, as well as problems experienced in this regard, it is not possible for policy-makers to gain an exact version/picture of the complex situation in its full. For this reason it is necessary for the actual situation, as it is experienced in the respective environments, to be simplified and arranged within a policy model. Problems that have developed in the actual situation can then be more easily identified and be reflected in a comprehensible way in a policy model (Dye 1992:44).

A comprehensible version/picture of the actual situation thus means that the true cause of a problem is determined through a policy model (Dunn 1994:152). A policy model must show to policy-makers in the Northern Free State municipalities that there is a lack in solving problems, as indicated in chapter 2 of this thesis. It must also indicate that the situation does actually result that service delivery to the communities are hampered because of these problems.

In an effort to improve the comprehensibility of a policy model, it is important that valuable information is not lost and that the model is not oversimplified. Problems that, for instance, develop because of an unstable internal environment, ineffective human resource provisioning activities and a lack of proper policies in the Northern Free State municipalities should be identified in a model. Oversimplification of the true situation and the problems arising from it can lead to inaccurate deductions and predictions in respect of the actual situation (Dye 1992:44; Starling 1988:158).

Besides the comprehensibility of a policy model, equilibrium and balance is another criterion that must be taken into account in the composition of a policy model. This criterion is analysed in more detail below.

7.4.2 Equilibrium and balance

In addition to the above-mentioned criterion of comprehensibility, it is also important that a policy model has equilibrium and balance. This means that there should be a balance between theory, data and methodology when a policy model is composed so as to eliminate the problem of oversimplification (Rosson & Alpert, 1990:198).

Theory involves the systematic formulation of interdependent hypotheses in order to predict and explain certain phenomena (Robbins 1993:36). A policy for human resource provisioning can be created on the basis of theoretical guidelines and as such a prediction can be made on how to rectify a problem. This prediction is actually the policy model. Such a policy model creates the framework according to which the three municipalities can henceforth identify problems, set goals, make organisational arrangements, determine the rationale for policy, and formulate, implement and evaluate policy (Shannon & Weaver, 1999:77).

Data, according to Taggart (1980:19), consists of facts and opinions and as such provides information necessary for the composition and implementation of a policy model and for predicting the results of a model. As such, **data** can be seen as the link between a model and the environment in which it can be implemented (Odendaal 1995, 198). Since data is the link between a policy model and the environment, it is equally important that equilibrium and balance is maintained and that not too much data is reflected in a policy model, while the theoretical foundation of the model is scaled down. In an effort to compose the policy model in a balanced and equilibrated way, data is collected from, amongst others, selected secondary sources (like departmental files, agendas and minutes) and primary sources such as legislation, reports and official government documents. Besides theory and data, methodology is another important link to be considered in the composition of a balanced and equilibrated policy model.

Methodology refers to the method used by policy-makers to compose a policy model (Sully, 1994:199). The methodology followed in this study is descriptive, analytical and normative in nature so that a systematic explanation of problems can be found and proposals can be made to resolve such problems.

Taking into account the available theory, data and methodology, the problems identified in the qualitative study can be presented systematically, theoretically and practically. Solutions can also be proposed on the basis of the study by means of a theoretically founded policy model. Theory, data and methodology are thus the components necessary to ensure balance and equilibrium during the composition of a policy model.

From the above it appears that the composition of a policy model is determined, *inter alia*, by the way in which theory, data and methodology are reflected in a model. Balance and equilibrium amongst the three components mentioned above should be maintained during the composition of a policy model for municipalities in general and the Northern Free State municipalities in particular. The model should thus present a meaningful framework according to which policy for human resource provisioning can be created and human resource provisioning being addressed.

The above-mentioned criterion is related to the criterion of comprehensibility. The identification of the core of a problem to a large extent determines the comprehensibility and balance of a policy model, without sacrificing the complexity and intricacy of such a model (Dye 1992:44).

7.4.3 Essence or core of the problem

From the above, it appears that policy-makers require special expertise to make the right choices when it comes to the essence of a problem and to ensure that the choices are not left entirely up to subjective value assessment (Sully, 1994:200). This means that policy-makers must be able to address the core problems in the

three municipalities and address them objectively. A policy model should guide the stakeholders responsible to rectify the problems that were identified by the qualitative study. The study that was undertaken in the municipalities should also assist stakeholders to not make choices on a biased and subjective way, but to identify the core problems immediately.

7.4.4 Reconcilability with the actual situation

A policy model should also be reconcilable with and related to reality. This criterion is related to the criterion of equilibrium and balance and once again emphasises the fact that a balance must be maintained among theory, data and methodology. When composing a model, cognisance should be taken of the actual situation. A policy model should thus be related to problems experienced in reality. The truth or reality of a situation can be determined on the basis of empirical facts (Dye 1992:44.45). The empirical facts related to the three municipalities have been discussed in chapter 2. It reveals that the human resource activities are inefficient and that policy-makers regard the function as not important. The activities of the function are neglected and policies are drafted only by councillors and senior management without inputs from the other stake holders.

7.4.5 Meaningfulness of communication

A policy model can only be of value if it establishes communication channels between all the stake holders, such as councillors, senior management, personnel in the human resource departments and union members. Policy-makers should obtain finality beforehand on the purpose of the policy model and the message to be conveyed by means of the policy model – otherwise the communication value of the policy model could be lost (Dye 1992:45; Quade 1989:147). The purpose of a policy model should thus be communicated to every policy-maker in the three Northern Free State municipalities so that all can work together, with other stake holders to achieve the purpose.

Taking the criteria that has been discussed in cognisance, the actual composition of a policy model needs attention.

7.5 COMPOSITION OF A POLICY MODEL

According to Lane (1993:69), there is a wealth of models that can be utilised as policy models, each of which has normally its own application value. Models can come in many shapes, sizes and styles and it is not always easy to find a specific model to use for a specific situation. It is for instance hard to find a specific model relevant to the three municipalities under discussion, because of the applied nature of the study. The researcher will thus compose a model, based on the contents of other models that will suit the three municipalities.

Models can be divided into two broad categories. The first category represents **descriptive** (a description of a current situation) policy models and the second category represents **normative** (a prediction of a future situation) policy models (Odendaal 1995, 201; Hanekom 1987:76).

Characteristically, descriptive policy models describe the internal or external environment within which a policy model functions in order to gather information on a given problem and gain a better understanding thereof. In contrast to this model, normative models prescribe the future steps to be followed in resolving identified problems (Greenberger, *et al.* 1976:59, 60). A normative policy model also analyses the results and consequences of policy in order to determine the extent to which policy has had the desired result. In this way, the negative results and consequences of policy can be identified and eliminated (Hanekom 1987:82).

Besides the fact that policy models can be divided into the mentioned two categories, it appears in theory that policy models also focus on different aspects of policy (Dye 1992:20, 21). The **institutional** policy model, for instance, is a descriptive model that describes policy as the result of activities within government

institutions. For this reason, the organisational structures and functions of government institutions and the influence of government institutions in terms of the ratification and implementation of policy are described in the institutional policy model (Hanekom 1987:81). Like the institutional policy model, the **systems** model is also descriptive in nature, but focuses on the environment and environmental factors to describe policy. The systems model actually describes the method to be followed in identifying problems and needs arising from the environment. Inputs from the environment are accordingly identified and described before being processed and are then fed back as outputs into the environment (where the original need or problem developed) (Dye 1992:42,43).

Other policy models, such as the **incremental models**, are mainly normative models that view policy as a continuation of past government action (Dye 1992:34). According to the incremental policy models, decisions made in the past play a crucial role in the formulation of new policy for the future, and past events determine how policy should be formulated (Lane 1993:72).

The **rational policy model** is also a normative model that involves the creation of policy on the basis of the total value preferences of the community. Policy alternatives and the advantages and disadvantages of each are weighed up and a choice is made between alternatives. The final choice rests on that policy option that will result in the best result at the lowest possible cost in terms of personnel and finances (Dye 1992:31). The rational policy model is normative because it is based on the value preferences of the community, and these preferences determine how policy should be formulated for the future (Hanekom 1987:830).

Due to research and the continual exposure to new theories, data and methodology, the possibilities with regard to the composition of policy models are virtually unlimited (Suchman, 1987:203). As mentioned there can be a model to explain each and every phenomenon. The important fact is that a model investigates current systems and makes predictions of future outcomes and as such there can be, *inter*

alia, quantitative models, technical models, fundamental models and socio-political models (http://www.investerwords.com).

The purpose of the composition of a policy model is therefore to present a framework within which phenomena, such as human resource provisioning in the three municipalities, can be addressed. The study, as mentioned on specific occasions, reveals that human resource provisioning is ineffective in the three Northern Free State municipalities and that, due to a lack of a policy framework, the internal organisational arrangements are hampered.

The policy model that will be composed will serve as guidelines for all stakeholders in the three municipalities. It will be descriptive (concentrating only on the internal environment) and normative of nature and the different policy phases identified in chapter 5 will form the foundation of the model.

In the following section theory and data gathered and processed during the qualitative study is applied in a descriptive and normative (and analytical) way in order to compose a new policy model.

7.6 PHASES RELEVANT WHEN A POLICY MODEL IS COMPOSED

Only once the policy model has been compiled can municipalities, such as the Northern Free State municipalities, attend to the development of guidelines and procedures to implement policies. During the policy-making process (chapter 5) phases have been discussed at the hand of which the process should be driven. The same phases are relevant when a policy model is composed.

The model should consist **firstly** out of an internal (and external) environmental reconnaissance phase and includes the value system, environmental influences, and strong and weak points leading to and underlying the three municipalities. **Secondly**, the model consists out of a preparation phase, which involves the

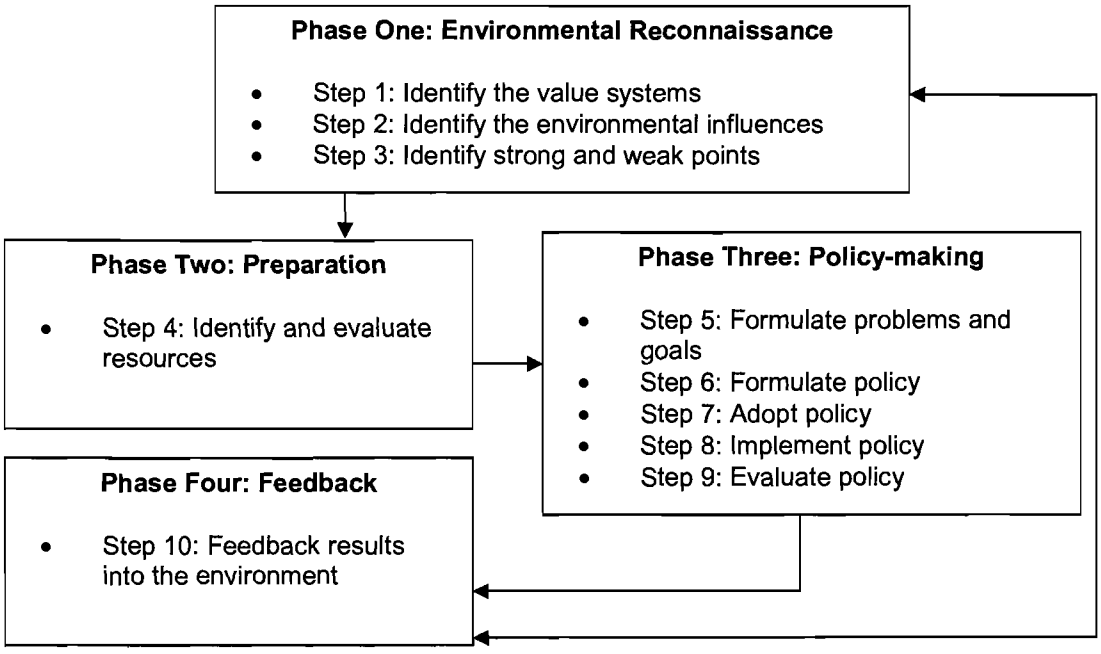
identification and evaluation of available resources such as personnel and finances necessary for the creation of policy (Wirfs-Brock, Wilkerson & Weiner, 1990:101).

Thirdly the model consists out of the policy-making phase, which is an essential phase of the model, as problems are formulated and goals set, after which policy is formulated and accepted. Moreover, policy is implemented and evaluated during the policy-making phase.

Fourthly, the feedback phase constitutes the final phase of the model and is of value because it is the phase during which results in terms of the identified problem are fed back into the environment and the full effect of policy can be determined. Communication is of particular importance during this phase, because it can lead to further interaction with the other phases of the model and create the opportunity for further action.

The four phases of a policy model can be depicted as follows (Wirfs-Brock, Wilkerson & Weiner, 1990:104), as illustrated in diagram 7.1:

Diagram 7.1: Four phases of the policy model



These four phases will be discussed next.

7.6.1 Environmental reconnaissance phase (phase one)

The **environmental reconnaissance phase** is described as a process whereby the external and internal environment of an institution is investigated and analysed and the main influences thereof on the municipalities are identified (Wirfs-Brock, Wilkerson & Weiner, 1990:105). The environmental reconnaissance phase identifies especially the value system and needs of the local community as well as major strong and weak points in this regard.

The analysis of the external environment was not of particular importance for this study and the researcher concentrated on the internal environment. An analysis of the external environment is of great value for policy-makers on senior level in the municipality and for councillors. With information gained from external environmental studies broad policies for the municipality, including all activities, can be drafted. The researcher concentrated on human resource provisioning activities (part of the internal environment) and addressed problems in this regard. A brief discussion on the external environment is undertaken because it forms part of the policy model.

The identification of the value system, as the first step in the environmental reconnaissance phase, is discussed in more detail below.

7.6.1.1 Identification of the value system of the community (step one)

The values of communities that might have an influence on human resource provisioning should be identified during the environmental reconnaissance phase. In this way, the real needs of the community can be determined insofar as service delivery is concerned and where municipal workers lack the capacity and strength to deliver those efficient services. Policy-makers must then draft policies to strengthen the activities of human resource departments.

The community's values in respect of efficient service delivery are related to, amongst other things, vacancies that are not being filled and incompetent workers that have been appointed due to ineffective selection procedures. More prominent issues that are relevant for the municipalities as a whole are the aging patterns in the population composition, higher or lower living standards of people, unemployment, increasing urbanisation, and greater community involvement. Characteristically community values change from time to time to adapt to changing circumstances within the environment and this will have an influence on human resources (Sully, 1994:88).

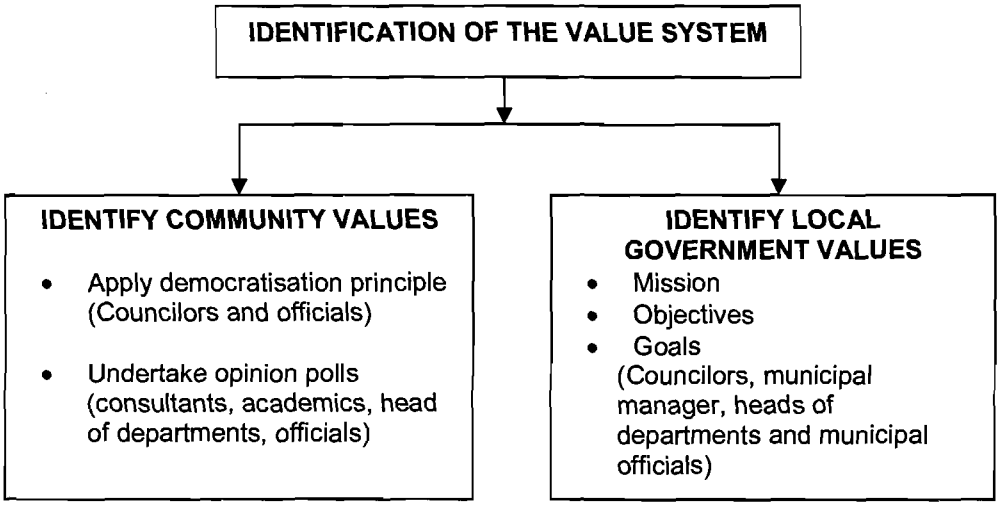
The above requires that, on the basis of opinion polls and through the application of democratisation principles, the needs of the communities of a municipality, such as the three Northern Free State municipalities, are constantly determined. An opinion poll is a reliable and objective method used democratically to determine the actual needs of the total communities with regard to service delivery.

The democratisation process means that during the identification of the communities' value systems and the needs arising from the communities should maintain an open, accessible, responsible and unprejudiced attitude (Maes, 1994:56).

Besides the values of the community, the internal values of the municipality and its personnel should also be identified during the environmental reconnaissance phase. The values of the Northern Free State municipalities that are reflected in the mission, objectives and goals and in which the communities' values should manifest, should thus also subsequently be analysed. The mission, objectives and goals of the three Northern Free State municipalities and departments concerned with effective and efficient service delivery to the communities are important, as they confirm the municipalities' and the departments' right to existence. It should confirm that a municipality is future oriented, and that it indicates the direction in which it wants to progress in terms of human resource provisioning (Kroon 1991:148).

The identification of the value system of communities, as discussed, can diagrammatically be depicted as follows:

Diagram 7.2: Identification of the internal and external value systems



(Rumbaugh, Blaha & Premerelani, 1991:112)

After evaluation of the value system of a municipality the identification of environmental influences is necessary.

7.6.1.2 Identification of environmental influences (step two)

It is essential that participants in the policy-making process and the development of the policy, such as councillors, municipal managers, heads of departments, heads of sections, academics and consultants, identify not only community values and the values of the Northern Free State municipalities, but also selected influences from the environment that have a meaningful effect on policy.

According to Rumbaugh, Blaha & Premerelani (1991:114) there is a magnitude of environmental influences that can influence policy. However, due to financial constraints, not all these influences can be taken into account when creating policy for human resource provisioning.

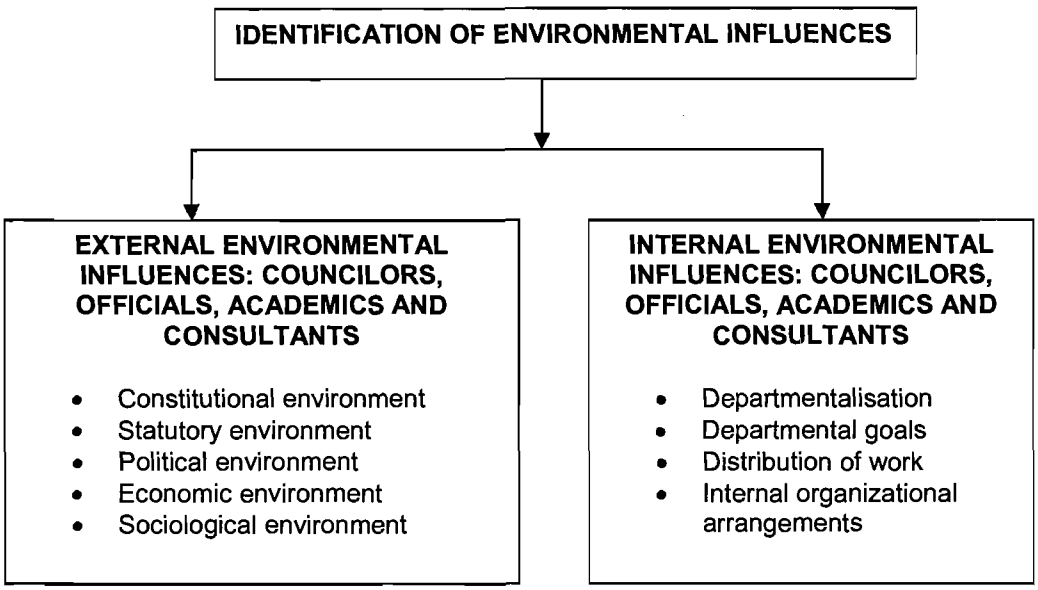
Prioritisation should therefore be carried out amongst environmental influences, and only those influences that have a meaningful effect on policy for human resource provisioning should be identified and selected. It is necessary at this stage of composing a policy model to work selectively so as to meet the criterion of comprehensibility. A comprehensible version of the actual situation should thus be reflected at this early stage of the policy model (Dye 1991:44).

The external environment is dynamic, and policy-makers are constantly faced with changes, which demand that policy-makers adapt to the changing environmental influences (Odendaal 1995, 212). The influences from the constitutional, statutory, political, economic and sociological environments, as part of the external environment, and their effect on policy-making and policy in municipalities should be selectively identified. It is, for example, necessary that the influences from the constitutional environment, such as the Constitution been taken into account. Such environmental influences are then later classified as strong or weak points and are valuable when problems and goals are formulated during the policy-making phase.

Besides the external environmental influences, the internal environmental influences should also be taken into account by participants in the policy-making process – such as councillors, officials (municipal managers/ chief executive officers, directors, heads of sections and heads of work study divisions), academics and consultants when creating policy for human resource provisioning. When policy is created, it means that departmentalisation, departmental goals, distribution of work and internal organisational arrangements (such as the span of control and the delegation of authority and responsibility), which manifest in the formal organisational structure of institutions are taken into account during the environmental reconnaissance phase (Finmore & Van Rensburg, 1999:407).

The identification of environmental influences can be depicted as follows:

Diagram 7.3: Identification of environmental influences



(Storrs 1989:329)

Arising from the identification of the value system of both the community and the Northern Free State municipalities, it is possible to identify strong and weak points that should be taken into consideration before the preparation phase can come into effect.

7.6.1.3 Identification of strong and weak points (step three)

The identification of strong and weak points is a function of top management, and it normally involves the municipal manager and the directors of departments (Kroon 1991:178). **Strong points** are described as benefits or skills that a local municipality possesses or which can be applied to eliminate potential weak points. A **weak point** develops when a municipality does not possess a particular skill or benefit to address the weak point (Odendaal 1995, 214).

It is essential that institutions identify the strong and weak points that have an influence on their service delivery with specific relevance to human resource provisioning. An awareness of strong and weak points can enable the municipalities to act in a proactive and innovative way insofar as policy-making for human resource provisioning is concerned (Kroon 1991:179).

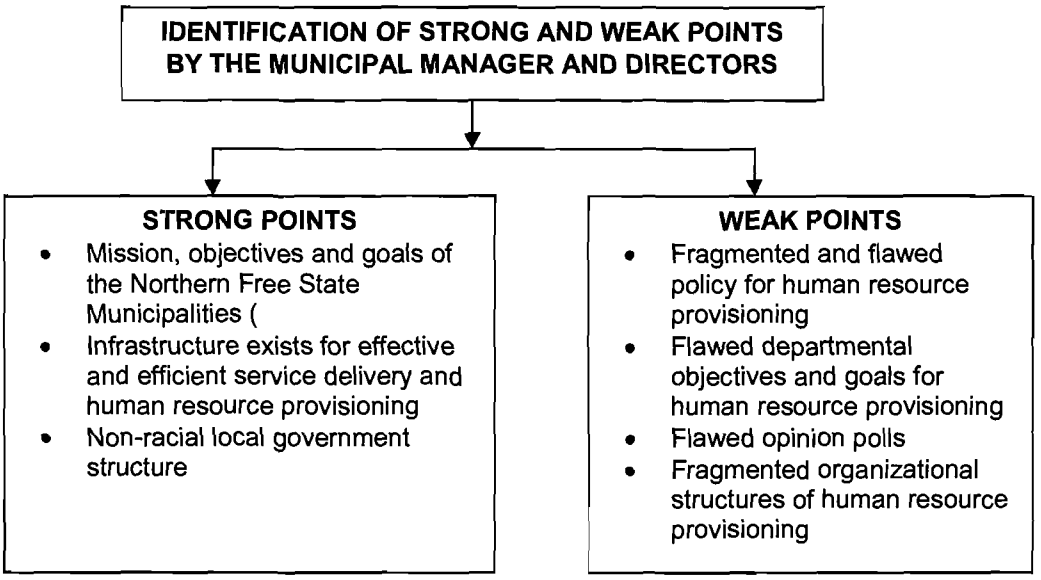
A strong point is, for example, that the three Northern Free State municipalities already have missions, objectives and goals that confirm the municipalities' right to exist and show that the municipalities are future oriented. Another strong point is that the three Northern Free State municipalities have the necessary infrastructure to be able to offer services to the communities. In addition, another strong point is the fact that the three municipalities have already, in accordance with the constitutional changes within the constitutional environment, been restructured as a non-racial local government.

Weak points can, inter alia, be regarded as –

1. the political interference in the day to day activities of departments, such as the human resource provisioning departments by politicians;
2. the fact that politicians and senior managers draft (or do not draft) human resource policies without inputs from human resource personnel; and
3. the understaffing of human resource departments.

The identification of strong and weak points can be depicted as follows:

Diagram 7.4: Identification of strong and weak points (SWOT Analysis)



(Odendaal, 1995:216)

The preparation for a policy model is discussed next.

7.6.2 Preparation for a policy model (phase two)

The fist aspect that needs attention during this phase is the identification and evaluation of resources. **Resources** can be described as the labour (trained personnel), equipment (infrastructure, departmental offices) and capital (finances) utilised in order to initiate and promote the creation of a policy for human resource provisioning of a municipality (Bench-Capon & McEnergy, 1989:224).

7.6.2.1 Identification and evaluation of resources

As mentioned above, resources utilised during the creation of policy involve labour, equipment and capital. The identification and evaluation of resources is a critical

step in the policy model that can have a significant impact on the creation and quality of the policy. If it should appear that there are insufficient resources (such as personnel or financial funds) for policy-making in a particular financial year, directive officials involved in human resource provisioning should identify long-term financial expenses (necessary for policy-making) so that these can be included in the following year's budget. In actual fact, the availability of financial funds should be the determining factor when decisions are made as to whether policy-making will take place immediately or whether it should be postponed until the following financial year (Browne, 1993: 32).

Financial and human resources are scarce commodities and, according to Kroon (1991:70) a lack of financial resources can lead to a lack of sufficient and properly trained personnel to create and implement policy.

Directive officials, such as the municipal manager, city treasurers and directors of departments of the three Northern Free State municipalities should therefore determine over the short term (budget term of the year in question) what resources – such as finances, personnel and equipment – are available and suitable over the short term in order to initiate the policy.
Such resources should be evaluated to determine the extent to which they have the potential to lead to the creation and execution of policy and also what the short-term cost implications are in this regard (Davis, 1993:87).

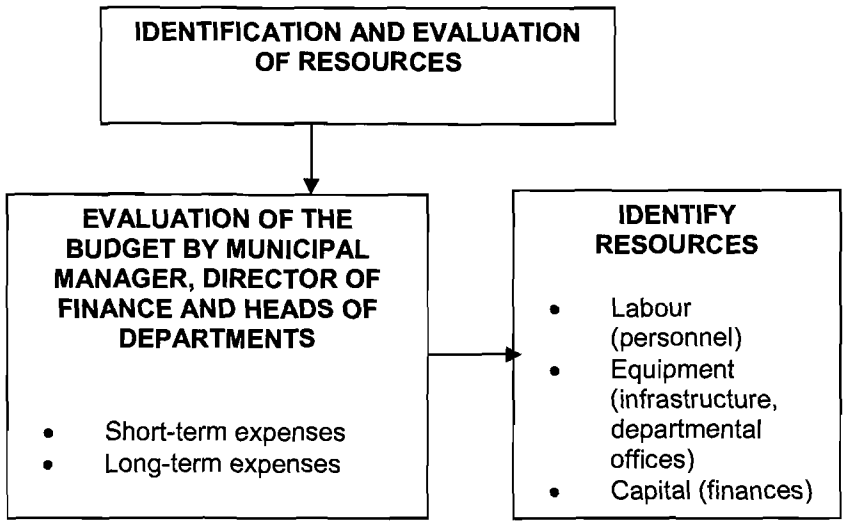
The identification and evaluation of available short-term resources should be undertaken on the basis of the three Northern Free State municipalities' budgets (budget term of the year in question). This is necessary, as the availability of short-term funds, as set out in their budgets, will determine the extent to which resources can be utilised for the creation of a policy over the short term. The budgets can in reality be seen as policy-making instruments, as the funds needed for policy-making are taken into account in a budget. For example, no decision can be made in

respect of the utilisation of resources unless this is done in consideration of the budget.

The budget of a municipality is also seen as a policy document and is actually a means of indicating expected activities and the financial implications thereof for a particular financial year (Odendaal 1995, 217). A budget is therefore an important guideline document, as it indicates the specific quantity of resources, in terms of available financial funds, which can be spent in the creation of policy. Odendaal (1995:218) further states that in the budget of a municipality, the Integrated Development Plan (IDP) of the municipality must be included. Section 152 of the LGMSA, states that the IDP must be implemented and monitored, and that services are provided to local communities in a sustainable manner.

Diagram 7.5 illustrates the identification and evaluation of resources.

Diagram 7.5: Identification and evaluation of resources



(Odendaal, 1995:216)

In addition to the identification and evaluation of resources in terms of available short-term funds, the future availability of long-term funds should also be constantly

investigated and evaluated. This is necessary, because the environment (internal and external) within which municipalities such as the three Northern Free State municipalities function and within which policy is created, is constantly changing and setting new challenges to policy-makers to continue to meet the expectations of the individual communities.

This involves the estimation of the potential results emanating from the application and utilisation of resources, the evaluation of the demand for and supply of resources, the investigation of the need for additional resources, and the consideration of the development of new resources (Kangassalo, 1983: 165).

As a result of the involvement of heads of departments in the drawing up of their departmental budgets and their expertise in this regard, it is important that directors of departments identify and evaluate the expected expenditure with regard to the utilisation of future long-term resources in the creation of policy. In this way, important information in respect of long-term financial expenditure can be introduced and can once again be embodied in the budget for future policy-making (McBride, 1994:90).

Once resources for the creation of policy have been identified and evaluated on the basis of the budget, it is important for the policy-making process to be initiated. This aspect is discussed in more detail below.

7.6.3 Policy-making (Phase three)

The policy-making phase, which is the third phase of the policy model consists of, inter alia, two steps, namely **problem and goal formulation**, which involves the identification of needs and problems being experienced by the community and the prioritisation of these needs on a policy agenda. During **policy-formulation**, clear *modus operandi* is explained so that policy can be formulated. During **policy acceptance** policy-makers reach a final decision on a policy matter and financial

implications, which is binding and enforceable. During the **implementation of policy**, approved and accepted policy is implemented in the community. During the **evaluation of policy**, policy-makers determine the value, usefulness and effectiveness of policy (Odendaal 1995, 220). In order to initiate the aforementioned steps, it is necessary for policy-makers to take cognisance of the information conveyed during the environmental reconnaissance phase and the preparation phase, since information introduced in this way can serve as an important guideline during the policy-making phase.

The steps that involves problem and goal formulation, is analysed as point of departure for the policy-making phase in the next sections.

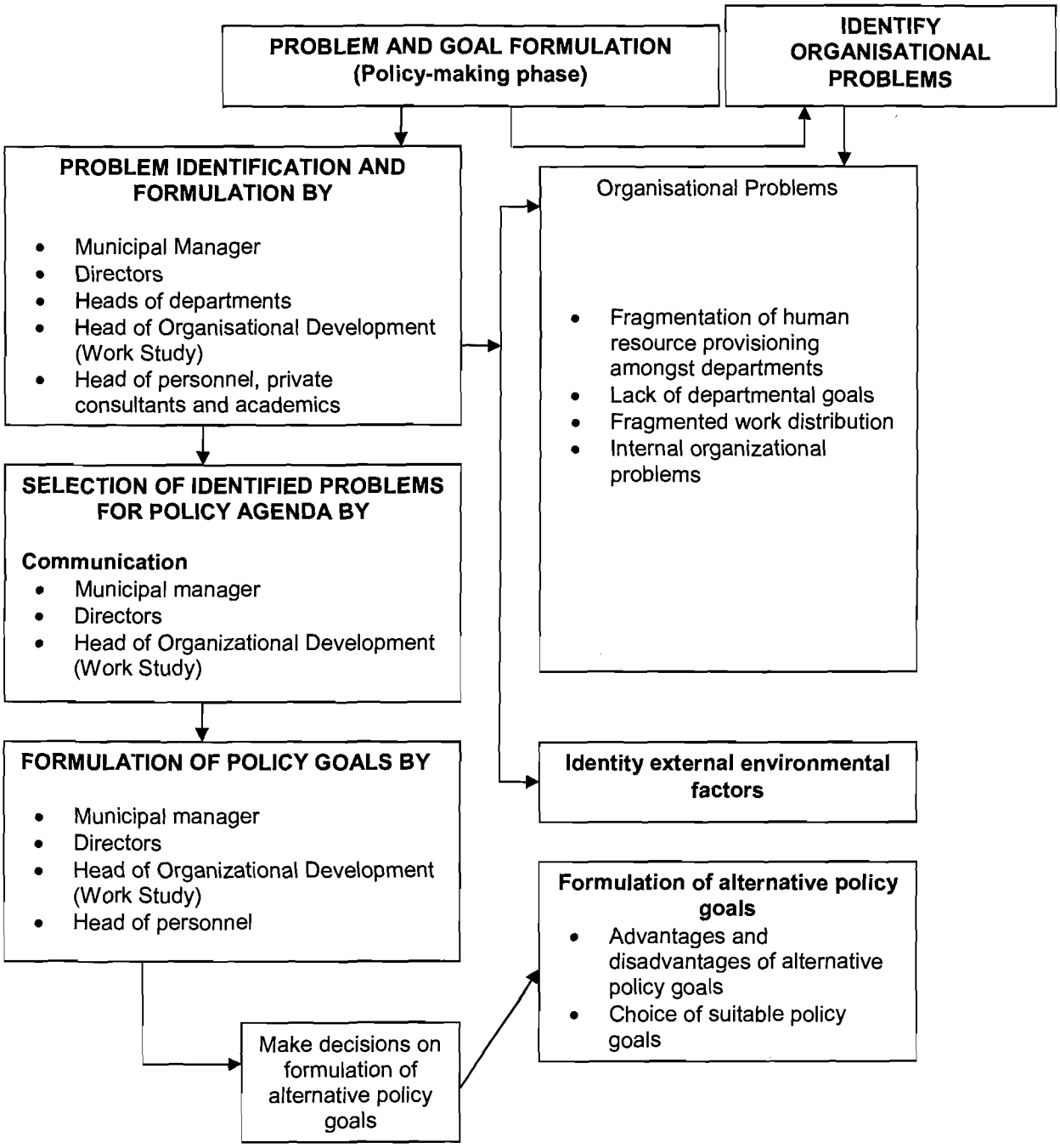
7.6.3.1 Problem and goal formulation

Problem and goal formulation is a complex activity and involves **firstly** the identification and formulation of problems that have developed as a result of a lack of uniform policy for human resource provisioning. **Secondly**, the identified and formulated problems are then placed on a policy agenda, and **thirdly**, policy goals are formulated in consideration of the policy agenda (Lim & Long, 1994:76).

It is due to the complex nature thereof that it is so important for the correct identification and formulation of problems related to human resource provisioning, to be undertaken by experienced and trained individuals. This means that municipal officials such as municipal managers, directors of departments and heads of sections involved in human resource provisioning, as well as the heads of work study divisions, heads of personnel, private consultants and academics within the municipal environment, should be involved in the identification of such problems (Maes, 1994:144). It is due to the complex nature thereof that it is so important for the correct identification and formulation of problems related to human resource provisioning, to be undertaken by experienced and trained individuals.

Diagram 7.6 below illustrates problem and goal formulation phase.

Diagram 7.6: Problem and goal formulation



(Maes, 1994:144)

Problem identification and formulation imply in truth a refinement of the identified weak points. With regard to the three Northern Free State municipalities, it is a lack of sufficient and uniform policy (due to internal politics) that leads to specific problems in terms of human resource provisioning. Such problems are not only reflected in the formal organisational structure of the municipalities, but also occur in the internal organisational arrangements of the municipalities. Human resource provisioning, as can be deduced from the study, are under-staffed, under-trained, and highly politicised.

It is important that problems are correctly identified and clearly formulated, as, due to a lack of time, finances and personnel, not all problems result in policy (Maes, 1994:146). The clearer the emphasis on the scope of the problem, the greater the chance that it will be included in the policy agenda, and that it will result in the creation of a policy. Thus, once the problem has been identified and formulated with a consideration of time, finances and personnel, it is placed on the policy agenda. A policy agenda is a document containing all the identified and formulated problems that will be seriously considered by policy-makers (Pearson, 1991:239).

Once the policy-makers have selected certain problems to be included in the policy agenda, it is necessary to formulate policy goals on the basis of which selected problems can be addressed and policy in this regard can be formulated. A policy goal precedes policy and there can only be talk of policy once policy goals have been formulated. The formulation of policy goals is also a complex process and requires the involvement of senior personnel such as the municipal manager/chief executive officer, directors of departments (such as the director of finance), head of work study and head of personnel in a municipality (Odendaal, 1995:224).

Changes, for example, that are currently taking place in South Africa should in the future, be able to pressurise local governments in particular, to provide more effective, efficient and economical basic services to their respective communities.

For this reason it is necessary for experienced individuals to be involved in the formulation of policy goals that can lead to the creation of policy for human resource provisioning without the unnecessary wasting of scarce resources. Likewise, this requires that alternative policy goals be set and that the advantages and disadvantages of such policy goals in terms of the time, finances and personnel required to formulate policy in this regard be weighed up against one another (Baker, 1999:37).

In order to choose the most suitable policy goal, decisions must be made continuously regarding the formulation of policy goals in order to eliminate unacceptable alternatives and to prevent less-important problems that do not, for instance, relate to policy-making, from being formulated as policy goals (Odendaal 1995: 224). In this way, the most suitable policy goals can be selected. An example of a policy goal is, with consideration of organisational problems and the increasing demands developing from the external environment, the implementation of uniform policy for human resource provisioning for the three Northern Free State municipalities.

As has already been mentioned, it is important that policy goals are correctly formulated. The reason for this is that the next step in the new proposed policy model involves policy formulation, and Preece, *et al* (1994:64) state that the incorrect or poor formulation of policy goals can have a significant influence on the formulation of policy.

7.6.3.2 Policy formulation

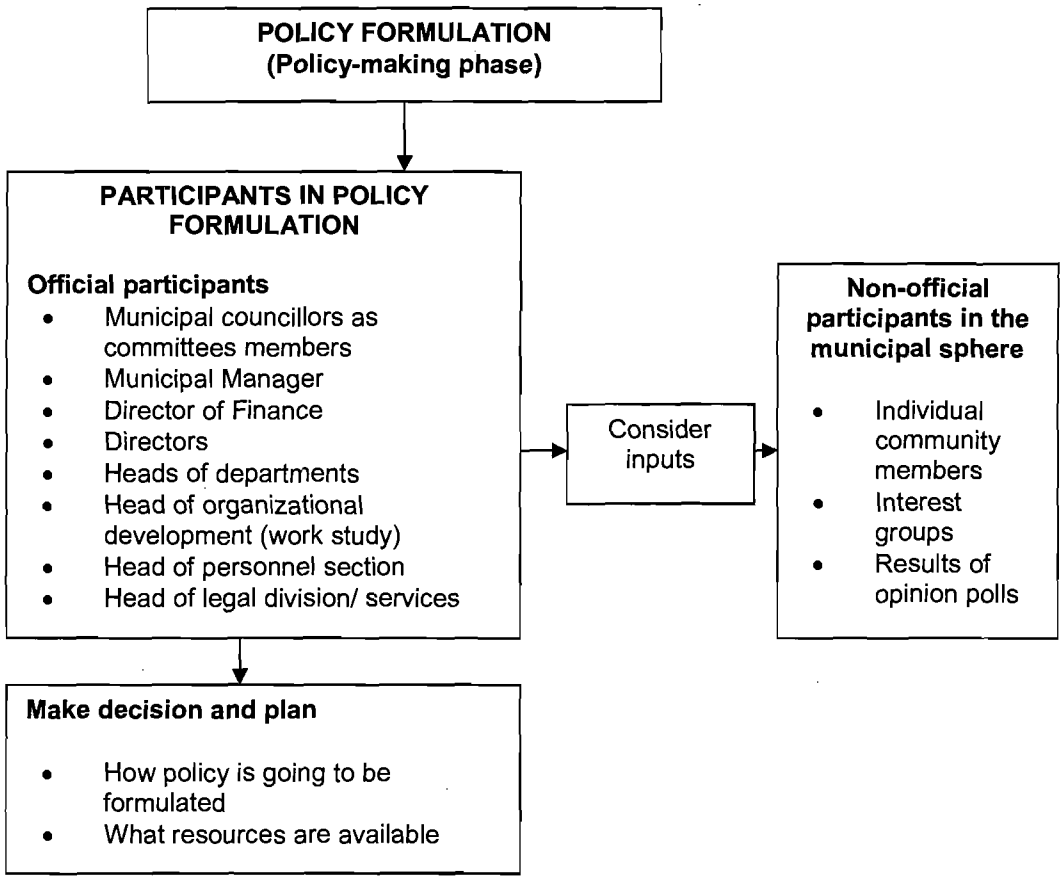
Policy formulation is defined as the written exposition of policy, which is associated with clearly defined proposals with regard to the interpretation and conveyance thereof (Burch & Wood 1990:15). This means that official participants, with consideration of the inputs of non-official participants, must word the formulated

policy goals according to a proposed *modus operandi* in workable and practical policy (Rosson & Alpert, 1990:360).

During the formulation of policy it is necessary, **firstly**, to determine who should be involved and **secondly** to determine how to go about formulating policy. **Thirdly**, it should also be determined what resources are needed for the formulation of policy.

The above aspects are analysed in more detail in Diagram 7.7.

Diagram 7.7: Policy formulation



(Rosson & Alpert, 1990:365)

Participants who should be involved in the formulation of policy for human resource provisioning of the three Northern Free State municipalities include, as mentioned above, both non-official participants and official participants.

Non-official contributions are received from interest groups and individual members of the community, as well as from the results of opinion polls, and should be considered by official participants when formulating policy (Baker, 1999:40). Official participants usually include municipal councillors who are members of committees, such as the management committees, and officials in the employ of the three Northern Free State municipalities. Councillors who are members of committees of the municipalities can, by virtue of their close ties in committee context with officials of the municipalities acquire first-hand information on a particular policy matter.

Information on proper service delivery gathered in this way can be used by committee members during council meetings to convince other councillors to consider specific policy matters for the formulation of policy. Moreover, officials such as the chief executive officers, city treasurers, heads of departments, heads of work study, heads of personnel and heads of the legal divisions play an important role, because they liaise closely with the communities and have the expertise and administrative proficiency to formulate policy concepts before they are considered by the institutions (Odendaal 1995, 226).

Official participants in the policy formulation phase should also, with consideration of inputs from non-official participants, make decisions on how policy should be formulated and what resources will be utilised for this purpose. Policy formulation commences, for example, when a report on the relevant policy matter is drawn up. This means that the chief executive officer and all heads of departments involved in human resource provisioning of the three municipalities must consider all inputs from non-official participants and consult with specialist officials (like the directors of finance, heads of work study, head of personnel and heads of the legal divisions of

the municipalities) before drawing up reports containing detailed information on the issues surrounding human resource provisioning.

Such reports should also contain information relating to the possible rationalisation and restructuring of departments, the possible integration of human resource provisioning activities (within a single department), and the financial and personnel implications of such integration. Reports drawn up in the above regard are submitted to the relevant committee (like the management committee) responsible for policy matters, for further consideration and refinement. It is then submitted for final approval to the full councils of the local governments in question (Craythorne 1997, 71).

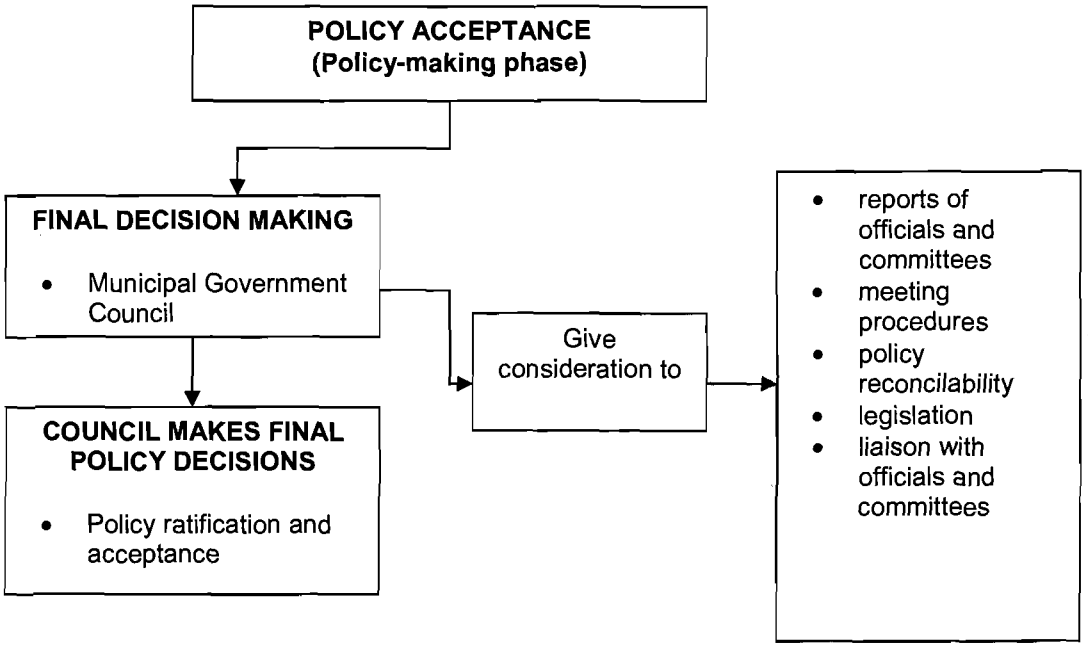
7.6.3.3 Policy acceptance

Policy acceptance is where councils of a municipality must make a decision on the policy formulated in the preceding step. Due to the finality of council decisions, there **firstly** rests a particular responsibility on the shoulders of officials such as the chief executive officer and other officials involved in human resource provisioning. These officials should see to it that policy proposals are carefully drawn up before they are submitted in report form to the Council for final approval (Rumbaugh, *et al*, 1991:213).

Secondly, municipal councillors have a responsibility insofar as the acceptance of policy is concerned. As councillors are elected by the respective communities, they have a duty towards the communities to enhance their overall welfare. Councillors can be held accountable with regard to policy decisions on human resource provisioning regarding recruitment and selection, for an example.

The policy acceptance phase is illustrated in diagram 7.8.

Diagram 7.8: Policy acceptance phase



(Pearson, 1991:241)

In order to make the right decisions with regard to the acceptance of policy for human resource provisioning, Pearson (1991:242) suggests that they commit themselves to the following:

1. To thoroughly study and consider reports emanating from committees.
2. To bring about liaison with committees and officials when finalisation on the interpretation of reports is required.
3. To take into account meeting procedures that determines the course of action in order to facilitate decision making.
4. To determine the reconcilability of policy, which must be accepted and ratified with policy of the central government and the provincial government in question? Policy for human resource provisioning must, for instance, be reconcilable with the Constitution.

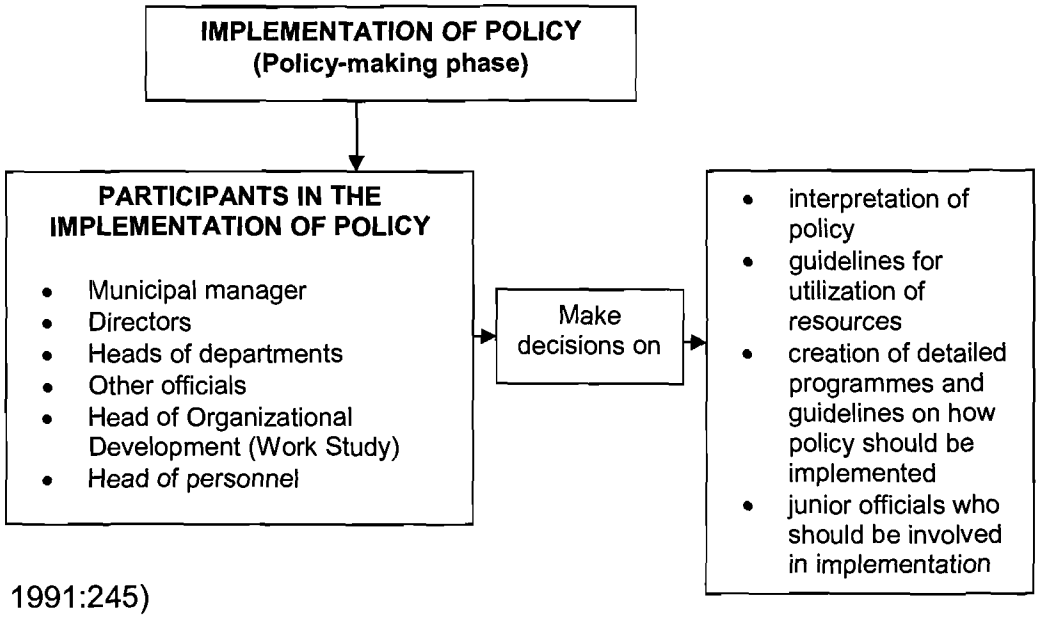
Policy, which has been accepted with consideration of the above are enforceable and binding on the community (Baker, 1999:43). Due to the binding nature of policy decisions, it is of key importance that municipal councillors acquire as much information as possible on the proposed policy from municipal officials in order to ensure that the right decision is made with regard to the policy for human resource provisioning. Policy acceptance should only be finalised once the Council has considered all possible reports and inputs from municipal officials and committees that were tasked to scrutinize and verify the policy (Baker, 1999: 44). The implementation of policy, analysed under the next heading, can then take place.

7.6.3.4 Implementation of policy

Policy has no value if it is not properly implemented and if the actual problem is not addressed (Pearson, 1991:245). When implementing policy, the heads of departments, in consultation with the chief executive officer, head of work study, head of personnel and the city treasurer, set out guidelines regarding who should be involved in human resource provisioning and what the financial implications are with regard to the implementation of policy within a respective municipality. It also means that heads of departments involved in human resource provisioning and rendering of services provide guidance to junior officials on how the policy should be interpreted and implemented within the municipal environment. Heads of departments can achieve the above by consulting with the municipal manager, head of organisational development, and head of personnel to work out detailed programmes and lay down guidelines for how the policy in question should be implemented (Cloete 1987:26).

The implementation of the policy is illustrated in diagram 7.9.

Diagram 7.9: Implementation of policy



(Pearson, 1991:245)

Guidelines should also be laid down by heads of departments, in consultation with the chief executive officer, regarding who is in charge of the total implementation action and hence responsible for it. Normally, heads of departments, as directive officials, should be in charge of the total implementation action. Resources such as finances and trained personnel are scarce and therefore heads of departments should exercise control during the implementation of policy to ensure that finances are utilised sparingly and that personnel are maximally utilised to achieve the desired results during the implementation of policy (Pearson, 1991:250).

The successful implementation of policy is largely determined by the way in which communication takes place amongst those persons implementing it. Information and guidelines relating to the implementation and execution of policy should be conveyed to all interested parties, and especially junior officials, in a clear and accurate manner. The creation of effective and efficient communication channels can serve to clarify any uncertainties with regard to guidelines and the interpretation of policy that is implemented (Baker, 1999:51).

The full impact and outcomes of policy can only be determined once policy has been implemented and executed. This means that policy must be evaluated in order to determine whether the original problem has been resolved. The evaluation of policy requires planning and decision making and is the function of directive officials, such as heads of departments, involved in the development of the policy on human resource provisioning, as well as councillors of the three municipalities in question (Baker, 1999:53).

The evaluation of implemented policy is an expensive, time-consuming and complex process (Baker, 1999:53-54). For this reason it is essential that during the evaluation of policy the five steps in the evaluation are taken into account. **Firstly** it has to be established what should be evaluated and what type of information should be made available by means of evaluation. **Secondly**, guidelines and procedures should be drawn up on the basis of which the evaluation can take place. **Thirdly**, a timetable should be drawn up so that the evaluation of policy for the delivery of services to the communities can be finalised in an effective and efficient manner within the allocated time (Cloete, 1987:27). **Fourthly**, resources (such as personnel and finances) needed for the evaluation of policy should be identified (Baker, 1999:56). **Fifthly**, in addition to the above issues to be taken into account during the evaluation of policy, it is equally important that evaluators identify a set of criteria on the basis of which the actual results of policy is.

The following criteria and questions arising from these five steps in policy evaluation can, according to Dunn (1994:405), be utilised for this purpose:

1. **Efficiency**

   Was the actual result achieved within the given time limit? It should therefore be determined whether the policy on human resource provisioning results in the effective implementation of all the human resource functions.

2. **Effectiveness**

   How much did it cost, in terms of resources such as personnel and finances, to develop the human resource provisioning policy?

3. **Suitability**

   To what extent is the human resource provisioning policy suited to counteracting the fragmentation of human resource provisioning activities?

4. **Fairness**

   To what extent do the results of the human resource provisioning policy meet the expectations of all the departments involved?

5. **Impact**

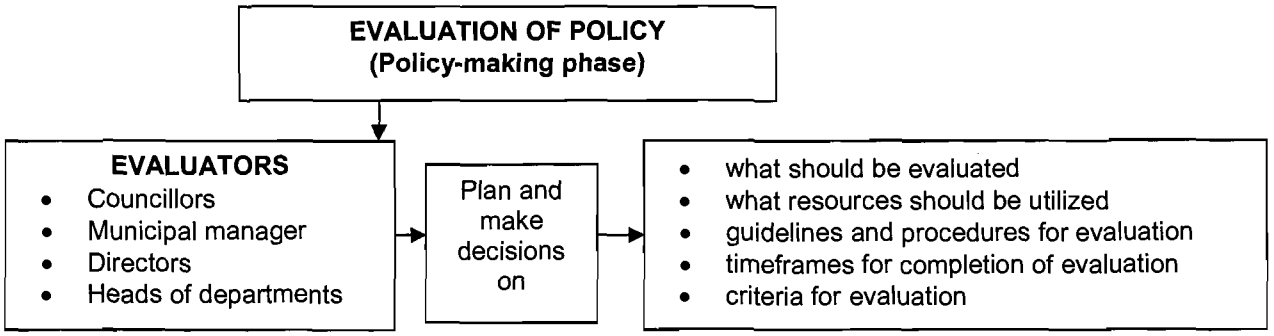
   Do the actual results of the evaluated human resource provisioning policy meet the expectations and needs of the community in that qualified personnel is appointed to deliver efficient services?

6. **Applicability**

   Are the actual results of the evaluated human resource provisioning policy in any way applicable insofar as the promotion of effective and efficient human resource provisioning?

Diagram 7.10 below illustrates the evaluation of a policy.

Diagram 7.10: Evaluation of a policy



(Odendaal, 1995:230)

Taking into account the above-mentioned evaluation of policy and the results emanating from it, it is also necessary for information revealed during the evaluation of policy to be fed back into the community. The feedback of evaluation results is analysed in the feedback phase below.

7.6.4 Feedback

Once the actual results of the implemented policy have been compared to the expected results, it is also necessary for these results to be fed back into the community where the problem or need initially arose (Pearson, 1991:252). Such results are brought about by means of communication. With out the feedback of results to the environment, the value of implemented and evaluated policy will be lost. The feedback of results is important, because it brings about interaction with the other phases of the policy model (Baker, 1999:58). The environment can receive information that, for instance, does not meet the expectations of the community and which can result in the formulation of new policy. Moreover, the feedback of results can also have training value, as policy-makers can determine, on the basis of actual results, where shortcomings and flaws exist in policy and can then take into account such shortcomings and flaws in future policy-making activities (Pearson, 1991:253-254).

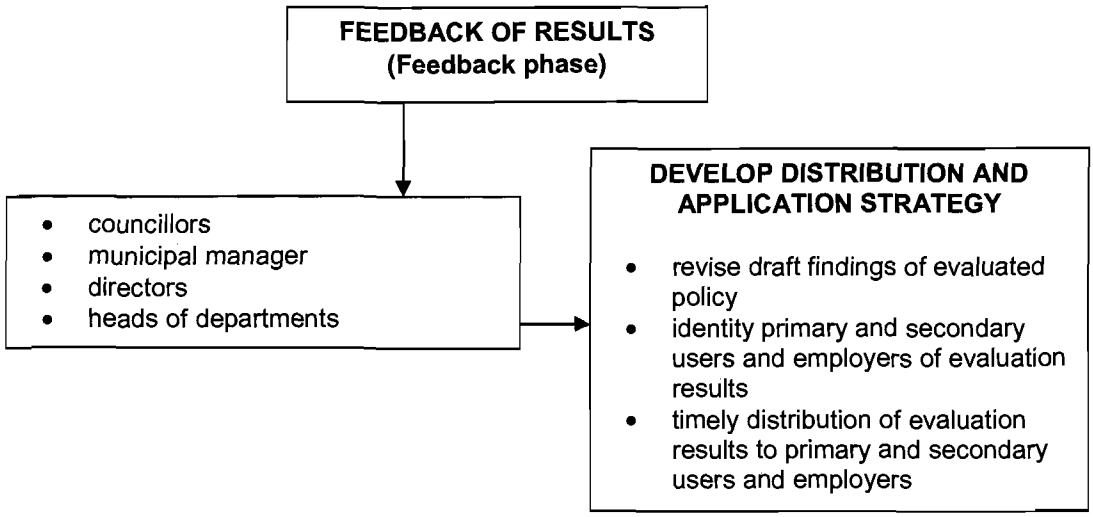
The success of the feedback phase is determined by the emphasis on the distribution and application of evaluation results. One of the most prominent problems underlying the feedback phase is the fact that the reports and conclusions of evaluators are not distributed amongst interested parties and that useful information is consequently lost in the process (Baker, 1999:59). For this reason municipal councillors, the chief executive officer and heads of departments in a municipality involved in the feedback of results in terms of evaluated policy need to develop a distribution and application strategy to eliminate the aforementioned problem. According to Baker (1999:60), this involves the following:

1. Revision of draft findings of the evaluation phase.
2. Identification of primary and secondary employers and users of the evaluation results.
3. Timely distribution of the final evaluation results to primary and secondary employers and users of evaluation results.

In terms of the above strategy, the municipal departments involved in the creation of policy for human resource provisioning and all the stakeholders are identified by the council, municipal managers, directors and heads of departments so that the results of the evaluated policy can be communicated to them in a timely manner (Baker, 1999:62). In the case of the three Northern Free State municipalities, the primary employers and users of the evaluation results have to be all the participants involved in the policy-making phase, while the communities, which actually enjoy the benefits of policy, is the secondary employer and user. As it was indicated by the researcher during the qualitative study in chapter 2, there are serious problems with regard to policy-making in the three Northern Free State municipalities, as the policy-making process is not correctly followed. To make matters worse at the three municipalities, senior managers, human resource personnel responsible for human resource provisioning, are clueless on the policy-making process.

Feedback of results to the environment is illustrated in diagram 7.11 below:

Diagram7.11: Feedback of results to the environment



(Baker, 1999:63)

From the preceding discussions on feedback, it can be deduced that feedback is an essential link between the actual environment and the abstract representation thereof. Information made available to the environment through the feedback phase is necessary to determine the extent to which the original goal with regard to the creation of a uniform policy for human resource provisioning in the Northern Free State municipalities has been achieved and whether this goal is still related to the actual environment and needs.

This Chapter indicated that a model is constructed to enable reasoning within an idealistic logical framework and that it is an important component of theories. Policies are tied to procedures and procedures are specifications of a series of actions, acts or operations that have to be executed in the same manner in order to always obtain the same results (Wikipedia, the free encyclopaedia). Texas politics indicate that a policy can be implemented according to a model and *by establishing procedures and by writing guidance documents.*

Baker (1999:62) states that is important to separate policy, model and procedure as policies reflect the rules to implement procedures. Procedures represent an implementation of policy. Any phenomenon can be represented by a model. Models can generate new ideas to describe the real world and how it operates. Through a model officials can develop new thoughts, which mean that a model can guide municipal officials to renew the human resource provisioning activities and policies in this regard (Graziano & Raulen, 2004:41).

7.7 CONCLUSION

A model is an abstract representation of an actual situation and aims to explain and make predictions about a problem or need identified within the community so that proposals can be developed to resolve the problem or need in question. A policy model for the creation of policy for human resources provisioning aims to propose solutions to the inefficient functioning of the human resource departments in the three Northern Free State municipalities.

In theory it appears that a policy model has a particular usefulness. This creates, for example, a frame of reference within which an identified problem or need can be addressed, and enables policy-makers to chance predictions on future events, which are based on current and historic events. Moreover, models also have training value.

In practice, the usefulness of a policy model can be measured and assessed on the basis of certain criteria. **Firstly**, it is important that a model is comprehensible. The point is to highlight the core without oversimplifying the given problem or need. **Secondly**, it is important that a model reflects equilibrium and balance. **Thirdly**, the identification of the core or essence of the problem or need should be kept in mind when a model is drawn up, and this is related to the criterion of comprehensibility. The model's ability to capture the core or essence of a problem without compromising the model's complexity shall, for instance, determine the extent to

which the model complies with the criterion of comprehensibility. **Fourthly**, apart from the afore-mentioned criteria, it is necessary for a model to be reconcilable with and related to reality. Empirical research should be conducted before a model is drawn up in order to obtain a realistic image of a given problem or need. **Fifthly**, a model should also communicate something meaningful. It is therefore essential to determine the model's goal beforehand, as this determines the extent to which a common message is communicated by it.

The composition of a policy model for human resource provisioning in a municipality is a complex process. This can be ascribed to the fact that in theory there are many policy models that have narrow application value. The narrow application value of policy models arises from the fact that such models are **firstly** descriptive or normative. **Secondly**, it appears in theory that policy models focus on different aspects of policy. The systems model, for instance, is descriptive in nature and focuses on the environment and environmental influences, while the incremental policy model is normative and focuses on historic aspects in order to create policy.

A policy model consists of four phases, namely the environmental reconnaissance phase, the preparation phase, the policy-making phase, and the feedback phase. During the environmental reconnaissance phase, events in the environments within which the Northern Free State municipalities function and which can have an influence on the other phases of the policy model, are identified and analysed. This involves the identification of the value system, environmental influences and strong and weak points arising from the environment and value system.

The next phase, namely the preparation phase, involves the identification of resources, such as personnel and finances, on the basis of which identified problems and needs can be addressed.

The policy-making phase then comes into effect, which involves the selection of problems and the inclusion thereof in order of priority in the policy agenda, after

which policy goals in this regard are formulated. Policy is subsequently formulated, accepted and formally ratified before being implemented and evaluated. However, policy has no value if the results are not fed back into the community. The final phase of the policy model is thus the feedback phase. This phase is of particular importance, because it feeds back into the community not only the results of policy, but also information that can lead to new policy or adjustments to existing policy. As such, the final phase is a link that not only brings about feedback to the environment, but can also result in further activation of the policy model.

The implementation of a human resource provisioning policy and the proposed new human resource provisioning policy model are discussed in the next Chapter.

CHAPTER 8

IMPLEMENTATION OF A HUMAN RESOURCE PROVISIONING POLICY AND THE PROPOSED NEW HUMAN RESOURCE PROVISIONING POLICY MODEL

8.1 INTRODUCTION

Castley (1996:17) states that increasing attention has been paid to the development of human resource policies, but that a major drawback is that institutions fail to implement them. Koch & McGraith (1996:340) state that it is not good enough for human resource policies to be intrinsically effective, if they remain at the planning stage and are not implemented. The success of policies depends heavily on how their development and implementation are combined, in other words each and every policy must be implemented.

Koch & McGraith (1996:341) state that human resource provisioning policies fail because of the following factors:

1. Proposed plans cannot be implemented because of unaffordable personnel costs.
2. Professional groups oppose the new policies.
3. Policies are regarded by clients to be unrealistic and that they will not address current problems.
4. Required modifications in current processes and procedures in the institution that make them difficult to implement.
5. Current capacity (for instance personnel) of institutions is inadequate to implement a policy or political acceptability of the impact of new policies is not acceptable to stakeholders.

With the factors stated above by Koch & McGraith 1996, for the failure of human resource provisioning policies to be implemented, the new proposed human resource provisioning policy model is discussed next, and literature on how this new proposed policy model is to be implemented follows in the sections after the new proposed model.

8.2 NEW PROPOSED HUMAN RESOURCE PROVISIONING POLICY MODEL

The first step of the new proposed model for human resource provisioning for the three Northern Free State municipalities is the identification of the value system (environmental reconnaissance). The identification of the value system is further divided into sub-steps identification of the community values and values of the municipality.

The identification of the community values includes adherence to democratic principles by the municipal councillors and municipal officials and the consideration of the opinions of the consultants, academics, municipal departments, directors of departments and municipal officials. The identification of the values of the municipality deals with the municipality's vision, mission, objectives and goals, which are to be carried out and fulfilled by the municipal manager, municipal councillors, directors of departments and municipal officials.

The identification of the community values and values of the municipality leads to the identification of the environmental influences, which are divided into external and internal influences. External influences entail constitutional statutes, political, economic and social influences, whilst the internal influences are departmental goals, work situation and organisational rules.

After the value systems of the community and municipality have been identified, the next step is to identify the strong and weak points (SWOT analysis) of the municipality. The identification of the strong and weak points is done by the

municipal manager and the directors of the respective departments in the municipality. The strong points of the municipality are the vision, mission, objectives, goals, infrastructure for human resource provisioning and the provincial and local government authority structures. The weak points are the municipality's fragmented and defective policies on human resource provisioning, defective departmental objectives and goals, defective rules and policies and the fragmented provision of basic services like water, sanitation and electricity. After identifying strong and weak points of the municipality, the next step is the identification and evaluation of human resource activities in the municipality.

During this step, the identification and evaluation of human resource activities, the budget must be looked at by the municipal manager, the director of finance and departmental heads. These senior municipal officials have to scrutinise the short and long term goals of the municipality pertaining to the budget. The identification of human resource activities entails the auditing of employees (personnel), equipment and capital of the municipality.

With the afore-mentioned background of the identification of human resource activities, the next step is to identify problems and formulation of goals of the municipality. Problem identification and formulation is done by the municipal manager, directors of departments, head of the work study (organisational development), head of personnel, private consultants (if the municipality can see fit do appoint) and academics. The selection of identified problems for policy agenda, formulation of policy goals and the identification of organisational problems are carried out by the municipal manager, directors of departments, heads of departments and head of organisational development (work study). After selection of identified problems, then the identification of external factors of the environment and formulation of alternative policy goals are looked at. During the formulation of alternative policy goals, advantages and disadvantages of alternatives and the choice of suitable policy goals are considered. After the alternatives have been considered, the next step is the formulation of policy.

Policy formulation, as another step in the new proposed policy model for human resource provisioning, takes place when policy determination is taken into account. Role-players during the policy formulation step are the municipal councillors, municipal manager, directors of departments, heads of departments, head of organisational study (work study), head of personnel and head of legal services. At this step, policy formulation, the contributions and inputs of the non-official role-players within the municipality, for example, individual members of the community, interested parties are weighed. After weighing these inputs, resolutions are taken, at a fully representative municipal council meeting on how the policy is to be formulated and which resources are available at the municipality to proceed with the policy on hand. The next step, policy acceptance step, is discussed next.

The policy acceptance step is the step where provisional resolutions (decisions) by the municipal council on the policy are taken. The municipal council's provisional decision on the policy is then communicated to municipal officials through sectional meetings and reports. After the presentation of the provisional decision on the policies to all stakeholders in the municipality, the municipal council makes its final decision and a formal resolution is adopted on the policy. After making the resolution, then the policy is formally accepted and confirmed as the official municipal legal policy and communicated to all stakeholders.

The next step after the acceptance and confirmation of the policy is the implementation of the policy. During the implementation step, the role-players and the municipal manager, directors of departments, departmental heads, head of organisational study (work study) and head of personnel. The role-players' role is to interpret the policy, decide on the line of authority for the application by human resources, and the senior municipal officials lay down clear procedures on how the policy is to be implemented. After the policy is implemented, its effectiveness and purpose of which it was intended for, has to be evaluated.

The evaluation of a policy at the municipality is the responsibility of the evaluators (municipal councillors, municipal manager and heads of departments). The evaluators take decisions on their evaluation of the policy. The (evaluators) base their evaluation on what has to be evaluated and which support sources, procedure and criteria are to be used for the evaluation. After the evaluators have evaluated the implementation of the policy, they give feedback to the municipal council.

After giving feedback to the municipal council, the municipal councillors, municipal manager and heads of departments develop the distribution and application strategy. During this step, the municipal officials review the concept findings of the evaluated policy and identify primary and secondary users of the evaluation results. After the development of the distribution and application strategy, a policy for human resource is put into place and in operation. The human resource policy is based on the municipal corporate plan, which entails the municipality's vision, mission and objectives.

The municipal corporate plan is influenced by environmental changes, like the political, economical, social, technological and labour market conditions. After the consideration of the municipal corporate plan and environmental changes, a human resource policy will be able to provide planning for human resource provisioning, job analysis, effective and efficient recruitment and selection of candidates. Human resource planning takes into account the current human resource competencies like the current staff complement, current staff competencies, potential levels of staff and current affairs in the municipality. All these activities are executed in the planning section within the municipality. In executing these activities, the GAP between current human resource competencies and the determination of future human resource demands, like the future staff complement needed, future staff competencies, potential levels needed and future vacancies will be addressed. After future human resource demands, as detailed by the organisational study (work study) section, strategies to fully address the GAP are formulated by the municipal councillors and senior municipal officials.

After the strategies to address the GAP have been formulated by municipal councillors and senior municipal officials, it would be possible for job analysis to be done and addressed effectively. In job analysis tasks, duties and responsibilities of posts on present and future personnel are analysed. With the analysis of tasks, there are clear job descriptions and specifications on job profiles and worker's profiles respectively. With a clear job analysis, recruitment will be effective as the municipality will know exactly what every employee will be doing. When recruiting candidates, external and internal factors are to be considered. The recruitment criteria are then set and recruitment methods and processes are followed properly. A recruitment audit is then used to check the performance of the recruitment function and section in the municipality. Selection of suitable candidates, after the interviews are held, is then made after proper and effective recruiting has been done. Induction of the new candidates then takes place after the candidate(s) has assumed duty.

The diagrammatic representation of the proposed new model for human resource provisioning policy is attached as Appendix D.

With the new proposed policy model in place, it is necessary to guide the three municipalities to implement the proposed new human resource provisioning successfully. The Implementation Maturity Model (IMM) is proposed as a model that can be utilised by the three municipalities to implement the new proposed human resource provisioning policy successfully.

This model is an instrument that may help institutions to be able to assess and determine the degree of maturity that exists in an institution to implement a new policy and it determines the degree of maturity of its implementation possesses as well. The model outlines the implementation steps and maturity levels needed in order to fully understand the processes to be followed, means to detect weaknesses and to strengthen the implementation process proactively (Chiavenato, 2001:17.

In the following section the proposed Implementation Maturity Model (IMM) is discussed.

8.3 PROPOSED IMPLEMENTATION MATURITY MODEL (IMM)

The IMM is a model that can be utilised by implementers of policies to ensure that human resource policies in government institutions are implemented successfully. This is a used model and is an instrument that may help institutions to be able to assess and determine the degree of maturity that exists in an institution to implement a new policy and it determines the degree of maturity of its implementation processes. The model outlines the implementation steps and maturity levels needed in order to implement policies. As model/instrument it will guide institutions to determine their level of maturity and whether specific changes are needed before the policy can be implemented with success (http://en.wikipedia.org/wiki/Implementation).

The Implementation Maturity Model (IMM) is thus an instrument to help an institution in assessing and determining the degree of maturity of its institution and processes when implementing a policy. The model consists of two important components, namely the –

1. five maturity levels; and
2. assessment

(http://en.wikipedia.org/wiki/Implementation)

The two components will be discussed next.

8.3.1 Five maturity levels of the IMM

The IMM has five maturity levels. According to SEI (1995), maturity implies a potential for growth in capability and indicates both the richness of an institution's

implementation processes and the consistency with which it is applied in policy implementation throughout the institution. The five levels provide an institution with a layered framework providing a progression to the discipline needed to engage in continuous policy improvements. It is important to state that an institution develops the ability to assess the impact of a new practice or tool on their activities. Hence it is not a matter of adopting these levels; rather it is a matter of determining how innovative efforts influence existing practices with regard to policy implementation. This will empower human resources departments within institutions by giving them the foundation to determine problems and to grow to a more acceptable (matured) position to implement a policy.

The five maturity levels will be discussed next, starting with the most immature level and ending with the most mature level. It is to the most mature level that the three Northern Free State municipalities should strive.

8.3.1.1 Level O-Initial

At the first level, the institution may lack a stable internal environment for the implementation of new policies. Directors give directives/instructions for the implementation of policies in an *ad hoc* way and there is no interconnection between policies. Institutional goals and processes are not considered when policies are implemented and communication hardly takes place between implementers. Implementation lacks structure and control and its efficiency depends on the individual skills of implementers as well as the knowledge and motivation of individual implementers, thus the bureaucracy (http://wikipedia.org/wiki/Implementation).

8.3.1.2 Level A-Repeatable

At the second level in the maturity model, policy implementation activities are based on the results of the successful or unsuccessful implementation of previous policies.

Previous policies and how they were implemented, guides the implementation of a new policy. Old or new implementation actions and knowledge are thus considered by the implementers during the implementation of the policy. Basic policy management processes are established to tract cost, schedule and functionality. The minimum policy process discipline is in place to repeat earlier successes on policies with similar applications and scope (http://wikipedia.org/wiki/Implementation).

8.3.1.3 Level B-Defined

At level three the implementation of policies is to coordinate and the implementation process is documented throughout the institution. This means that the implementation of policies will be directed to a unanimous goal, rather than individual goals. Policies are carried out under the guidance of policies operation standards and an implementation strategy. The implementation of each policy will be preceded by preparations to assure that conformity with institutional processes, procedures and goals are adhered to (http://wikipedia.org/wiki/Implementation).

8.3.1.4 Level C-Managed

At level four policies are started, supervised and implemented by processes of change management and process management. Implementing becomes predictable and the institution is able to develop rules and conditions at the hand of which policies are implemented. Deviation in the implementation of specific policies will immediately be detected and corrected. At this level, processes are controlled and implementers use statistical and other quantitative techniques. However, the policy implementation processes are only qualitatively predictable. Policy implementing becomes a *way of life* (http://wikipedia.org/wiki/Implementation).

8.3.1.5 Level D-Optimising

At level five the whole institution is focusing on the continuous improvement of the implementation processes. The institution possesses the means to detect weaknesses in the implementation of policies and processes and is able to strengthen the implementation process immediately. Analyses are continuously carried out to find the causes of any errors and mistakes. Each policy will be evaluated after closure to prevent recurrence of known mistakes when new policies are implemented (http://wikipedia.org/wiki/Implementation).

It is important that municipalities, such as the three Northern Free State municipalities, strive to move towards level five in order to secure the effective implementation of policies such as a human resource provisioning policy. *Level D-Optimising* will ensure that implementers follow rules to implement policies, which will ultimately lead to successful feedback to all stakeholders.

The IMM assessment is discussed next.

8.3.2 IMM assessment

By executing an IMM assessment, the overall maturity for the institution and its implementation processes can be assessed and determined. In other words, is the institution in a position to implement a new policy successfully? The relevant factors that should be taken into account when an institution's maturity level and implementation processes are determined are (http://en.wikipedia.org/wiki/Implementation) –

1. Implementation factors; and
2. IMM – elements and levels.

Once the implementation factors had been implemented the factors on the elements follow. These two factors will be discussed next.

8.3.2.1 Implementation factors

Implementation factors are factors that have to be taken into account when carrying out the implementation of policies. This means that the two factors, the implementation factors and IMM-elements and levels, play a crucial role in ensuring that policies are implemented correctly. There are five implementation factors in the IMM-model that have to be taken into account, and they are –

1. **Process** (this factor outlines the procedure to be followed in achieving results during the policy implementation phase);
2. **Human Resource** (this factor provides personnel with the ability to keep abreast with policies, procedures, compliance requirements and best practices);
3. **Information** (this factor outlines the way information has to be communicated to all stakeholders pertaining to the policy to be implemented);
4. **Means** (this factor gives directives to the human resource personnel on the process and implementation tools to be used in policy implementation); and
5. **Communication** (this factor helps human resources to communicate effectively with all stakeholders during the policy implementation phase and further ensures that the information received by stakeholders is understood correctly).

In the most optimal situation, an institution will strive to create balance and alignment between the five factors when a policy is implemented. In other words, an institution should focus on all five aspects when planning and executing the implementation of policies. An institution should also determine the maturity level of each factor and strive to develop the maturity of each factor to its maximum.

Once the maturity of the implementation factors has been determined, the overall maturity of the implementation processes can be determined as well.

In the next section, the Implementation Maturity Model elements and levels will be discussed. These elements and levels, if they are properly identified and described, will make it easier for human resources policy implementers to implement human resource policies correctly.

8.3.2.2 IMM-elements or levels

Each policy and its implementation process can be demarcated into specific elements or levels. These elements are called IMM-elements and when they are well identified and described it is possible to establish an implementation process that is effectively described and that will succeed. This means that a policy will be successfully implemented. These elements are also the basis for improving and restructuring the implementation process. The IMM has a total of 19 elements, which are grouped together under the already mentioned implementation factors: Process, meaning, human resource, information and communication (Rooimans, *et al.*, 2003:198).

Table 8.1 illustrates the five implementation factors with their corresponding 19 elements.

Table 8.1: Implementation factors and IMM-elements

Process	Human Resource	Information	Means	Communication
Valuation aspects	People type	Metrics	Process tools	Estimating and planning
Phasing	Involvement degree	Reporting	Implementation tools	Scope of methodology
Implementation strategy	Acceptance degree	Management		Implementation functions
Integration				Communication channels
Change management				Balance and interrelation
Process management				

(Koomen & Pol, 1998:32)

Just like the implementation factors, each element can assume levels ranging from O to A-D. The maximum levels that can be achieved vary per element. Thus, not all elements can or must achieve level D (optimising). The reason for this is that each element has different characteristics as it rises from a lower level to a higher level. The higher the level, the better the element is organized, structured and integrated into the implementation process. At level A (repeatable), the tools used may vary per project, while at level B (defined), these tools are standardized for similar projects (Koomen & Pol, 1998: 33).

By looking at relevant documentation and carrying out interviews, an institution can assess the current status of the elements and hence determine on which maturity levels they are and on which level they ought to be. The determination of maturity levels for elements will be highlighted next.

8.3.3 Dependencies and checkpoints

To determine the level of an IMM-element, there are specified dependencies to consider. Dependencies state that other IMM-elements need to have achieved certain levels before the IMM-element in focus can be classified into a specific level.

In addition, each level consists of certain requirements for the elements. The requirements, also called "checkpoints", are crucial to determining the level of an element. An element cannot achieve a higher level if it does not conform to the requirements of that level. More-over, the checkpoints of a level also comprise lower levels. Thus, an element that has reached level B for example needs to have met the requirements of level B as well as level A (Rooimans, *et al.*, 2003:171).

For example, element 1 can only achieve level B if elements 5 and 9 have reached level B and C respectively. Each implementation process will result in different dependencies among IMM-elements and their levels (Rooimans, *et al.*, 2003:166-169).

The IMM has taken into account how intrinsically complex implementation of policies is, and this model tried to identify critical explanatory variables that may help institutions to understand implementation processes on a variety of issues, in a variety of institutions.

Once the maturity level of an institution and its processes has been determined, as discussed, a municipality should decide which approach to follow when implementing a new policy.

8.4 APPROACHES TO IMPLEMENTATION

Although various prominent paradigms on implementation of policies are debated and practiced by researchers and institutions internationally, South Africans seemed to have adopted their own approaches in implementing policies. Naturally, the consequence is also of varying degrees of success of policy implementation. It is noted that early scholars of policy science saw implementation merely as an administrative choice, which, once policy had been legislated and the institutions mandated with administrative authority, would happen, by itself. This view has, however, been debunked. While the complexity inherent in implementation

processes has been amply demonstrated by researchers, we are still nowhere near a widely accepted casual theory with predictive or prescriptive powers (Brynard, 2005:8-9).

Brynard (2005:9) further states that South Africa is currently in the midst of an implementation of policy era, and there is still some confusion about when implementation begins, when it ends, and how many types of implementation there are. In the literature on policy implementation several obstacles were identified in the way of successful policy implementation. As implementation research evolved, two schools of thought developed as to the most effective method for studying and describing implementation. These schools are the top-down and bottom-up schools. Top-down school supporters see policy designers as the central actors and concentrate their attention on factors that can be manipulated at the national level. Bottom-up school supporters emphasise target groups and service deliverers. Presently most theorists agree that some convergence of the two perspectives exists. This is exactly why there is a close relationship between policy implementation and service delivery. This means that the macro-level variables of the top-down model are tied with the micro-level bottom-uppers.

With the different opinions on the approach to be followed in implementing human resource provisioning policies, the proposed methods of implementing human resource policies will be discussed below. The three Northern Free State municipalities must not only decide on the approach to follow, but also on the method in which the new policy on human resource provisioning should be implemented.

8.5 PROPOSED METHODS OF IMPLEMENTING A NEW PROPOSED HUMAN RESOURCE PROVISIONING POLICY

Reference has been made to decisions to be taken and plans to be made regarding a phased implementation (i.e. the deferral of a sub-set of the system's functionality, a level of integration with other systems, and/or the involvement of additional departments in the implementation, to a later date). These matters affect the scope of implementation and therefore initial planning for the implementation project. However, this phased approach is not always appropriate and a number of different models are used, the four main alternative approaches being (www.jisinfonet.ac.uk)–

1. sudden or "big bang" approach;
2. parallel approach;
3. phased approach; and
4. pilot approach

8.5.1 Sudden (Big Bang) Approach

The Sudden (Big Bang) Approach is that of a complete changeover from the old system to the new system at a specific point in time. Factors that might favour the use of this model are (www.jisinfonet.ac.uk) –

1. an urgent need to replace multiple legacy systems and cumbersome and ineffective interfaces with a single integrated system with standard functionality and information records;
2. an urgent need to see the benefits of large up-front investment and accumulated costs;
3. a worry that funding for later stages of a phased implementation might not be forthcoming;
4. a worry that the impetus and enthusiasm to implement a new system might be lost over a longer period;

5. an urgent need to effect savings by replacing staff with new technology; and
6. an immediate move to a collective and centralised operation as opposed to a diverse and de-centralised institution.

This is undoubtedly a high-risk approach and is likely to result in relative chaos unless the institution is graded as a well matured entity. This approach can be considered as the best and quickest route to system changeover as long as there is exemplary preparation, a strong will and firm spirit of all to succeed, and excellent communication (www.jisinfonet.ac.uk).

The parallel approach is discussed next.

8.5.2 Parallel Approach

The parallel approach involves running both the old and new systems in parallel for a given period. The period may be as short or as long as required and may depend upon the time to complete a particular business cycle, the time taken to prove that the new system works satisfactorily or simply an arbitrary period. The factors that would influence this type of approach are where there is a need (www.jisinfonet.ac.uk) –

1. to replace complex data processing methods with equally complicated procedures;
2. to prove beyond doubt that the output from the new system is exactly the same as the results of the old (e.g. employee's pay slip);
3. to educate users in the ways of the new system before the old system is decommissioned;
4. to raise users' confidence that the new system is as good as, if not better, than the old; and
5. to meet new legislation or external requirements within a prescribed period of time.

Users of this approach will undoubtedly feel more comfortable with this approach and it obviously carries less risk than the Sudden Approach. However, comparison of the data produced by the two systems probably with different inherent logic is likely to be problematic, if not impossible, and extra resources will be required to maintain two systems, cope with double data entry and processing, and handle a drawn-out implementation. This can prove to be a costly, complicated and cumbersome process (www.jisinfonet.ac.uk).

The phased approach is discussed next.

8.5.3 Phased Approach

The Phased Approach can be organised in a number of ways, but the underlying principle is that the new system has partial functionality implemented and proven before additional functionality is utilised at a later date. A phased implementation method is not an approach to be taken with a relatively small system with limited functionality, but it is more suited to a large system covering many business processes, some of which are relatively self-contained. Factors that might drive an institution to phase an implementation are (www.jisinfonet.ac.uk) are the following:

1. There is an implementation timescale that is not bound by other more important factors.
2. Separate business processes can ideally be implemented earlier than others.
3. A phased implementation will not impact the full implementation adversely when it eventually takes place.
4. A phased implementation will not need to be dismantled or disengaged at great expense when the full implementation takes place.
5. A phased implementation will be better accepted within the politics and culture of the institution.
6. The costs of full implementation are too onerous to incur at one time.

7. The activities of full implementation are too demanding to conduct at one time.
8. There is a need to show an immediate return on investment.

The phased implementation is favoured by many institutions because it is seen as having fewer risks and being more economical. However, there will still need to be two systems in operation for a defined period, adding to the complications and requiring additional resources. This approach can easily add complexity by requiring additional temporary interfaces between the legacy and new system to enable them to interrelate (www.jiscinfonet.ac.uk).

The last approach, the pilot approach is discussed next.

8.5.4 Pilot Approach

The Pilot Approach can be organised in a number of ways, but the underlying principle is that the new system is used within a subset of the institution and trial run over a period of time. The pilot implementation usually requires one or more departments or other grouping of users to use the new system for all or some business processes before all departments come on board. Factors that might drive a piloting approach to implementation are where (www.jisinfonet.ac.uk) –

1. there is an implementation timescale that is not bound by other important factors;
2. there are separate departments in which the system can readily be implemented earlier than others;
3. there are separate groups of users for which the system can readily be implemented earlier than others;
4. there is a department or group of users that is particularly influential within the institution;
5. the scalability of the new system is largely untested;

6. a pilot implementation will be better accepted within the politics and culture of the institution;
7. the costs of a full implementation are too onerous to incur at one time; and
8. funding has not been granted for a full implementation or its approval depends on the success of the pilot.

This approach is seen as having the least risks and being the most economical, especially if the requirement to operate two systems simultaneously with the attendant additional resources can be restricted to a short period and a single operational unit (www.jisinfonet.ac.uk).

From the analyses of the successful ways in implementing policies, the following factors were found:

1. Most projects with regard to policy implementation comprise two phases, planning and execution.
2. There will be a standardized way of writing reports after each project.
3. Developing implementation strategies involves the project itself.
4. The stakeholders are involved with the implementation from the initial stages of the project until its conclusion.
5. People involved in the implementation of human resource policies have to have specific knowledge and skills.
6. Effective communication takes place throughout.
7. Implementation factors are valued.
8. Documentation to support implementation of policies is readily available.

(www.jisinfonet.ac.uk).

For a successful implementation of a proposed new human resource provisioning policy and other policies all risks have to be taken into account and the people involved have to at least accept the technical changes in the organization. There has

to be extensive communication between personnel within the human resource department and all stakeholders in the municipalities. If correctly followed, this model, the IMM, is proposed by the researcher as a useful instrument (model) to help the three Northern Free State municipalities to assess and determine the degree of maturity of their policies.

8.6 CONCLUSION

While policy could be defined in several ways, implementation moves from originally set political goals to results on the ground, which is service delivery. It is important to stress that policy formulation and implementation are not necessarily consecutive processes, but are in many cases parallel processes where policy design or redesign and revision can take place even during the formal implementation stages of the policy. The challenge is to analytically appreciate the resulting complexity with regard to the meaning of policy implementation. Like so much of the literature on South African implementation, implementation could be considered to be intrinsically complex.

For a successful implementation of the new proposed model for human resource provisioning policy and other policies, and the proposed Implementation Maturity Model (IMM) as the model to be used by the three Northern Free State municipalities, all risks have to be taken into account and the stakeholders involved in the implementation of these policies have to at least accept the technical changes and developments in an institution. There has to be extensive communication between personnel within the entire institution, facilitated by a human resource department, as the human resource department is the custodian of all policies in the institution. If correctly followed, the Implementation Maturity Model (IMM) proposed can be used in order to implement human resource provisioning policies in the three municipalities. It is a useful instrument that will help municipalities to be able to assess and determine the degree of maturity of their policies implementation processes.

With the proposed model for the implementation of human resource provisioning policies by the three Northern Free State municipalities being made, the researcher makes a conclusion and recommendations on his findings of the study in the next Chapter.

CHAPTER 9

CONCLUSION AND RECOMMENDATIONS

9.1 INTRODUCTION

Human resources provisioning is about attracting a pool of potential candidates from which the ideal candidate can be selected to fill a specific vacancy. Human resources provisioning is a means that employers use in order to persuade people to apply for employment. Employment does not just happen; it is a process, which has an influence on the municipality and the employer to be. Human resources can be regarded as the end process in a chain of events that started with organisation design and job analysis and proceeded through manpower planning to the stage where one or more employees in one or more jobs are appointed.

In the empirical study, Chapter 2, the researcher identified problems with regard to human resource provisioning activities in the three Northern Free State municipalities. The researcher found the following common and alarming problems in the three municipalities:

1. Policies are there, but the municipal officials do not know the relationship between legislation, human resource provisioning and existing human resource policies in the municipalities.
2. There is continuous interference by senior managers and politicians in human resource provisioning activities, hence human resource personnel are failing to execute their duties correctly and professionally.
3. Job analysis is not carried out, and positions in the municipalities are advertised without clear job descriptions.
4. The recruitment function is not effective.

5. Politicians determine who has to be appointed into the vacant positions, and comrades without skills, competencies relevant to the positions advertised are deployed into these positions.
6. Senior managers and human resource personnel do not have a clue of the policy-making process.

These problems are discussed in detail in Chapter 2.

In order for the three Northern Free State municipalities to function effectively there is an urgent need for quality human resource provisioning policies to be put into place. Research, undertaken by the researcher in the three municipalities of Metsimaholo, Moqhaka and Ngwathe indicates that these municipalities do not have adequate human resource provisioning policies. This means that the objective of recruitment is vague, appointments of personnel is under suspicion, legislation is not adhered to, the role of unions is misunderstood, the deployment of incompetent comrades into positions, and the continue interference of politicians in human resource provisioning issues, the availability of funds to recruit and pay for employment of skilled, competent, qualified and capable employees are non existing and the administration to make human resource provisioning successful lacks.

The primary purpose of this study was to develop a comprehensive human resource provisioning policy for the three Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe. This will secure that human resource activities are in place, which will lead to a situation where effective and efficient services are delivered to the communities.

9.2 OBJECTIVES WITH THE STUDY

The leading research question that was asked and which guided the study was "what should the development of an effective human resource provisioning policy (including procedures) consist of, taking theory and statutory principles into account,

and how will such a policy assist the three Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe in establishing an effective human resource function?".

The above research question led to specific objectives to be reached in order to make this study successful. These objectives were the following:

1. To determine the theoretical principles relevant to human resource provisioning in municipalities.
2. To establish what the statutory and regulatory framework for human resource provisioning in municipalities were.
3. To determine the theoretical principles regarding policy and the policy-making process.
4. To develop a model that was relevant for a policy on human resource provisioning.
5. To lay down the guidelines (procedures) at the hand of which a human resource provisioning policy could be implemented in the three municipalities.

In order to achieve the above-mentioned objectives a literature study was conducted and it formed the basis of the analysis of the theories and principles of human provisioning activities and policies. An analysis of current statutory and legislatory guidelines was undertaken to determine what the provincial and national governments expected from municipalities regarding the provision of basic services to the communities, such as water, sanitation and electricity. The literature study was also used to analyse the current human resource provisioning activities in the Northern Free State municipalities of Metsimaholo, Moqhaka and Ngwathe.

In this research a qualitative research design was followed. The researcher focussed on phenomena that occurred in natural settings, that is, in the "real world". He studied the phenomena in all its complexity. Qualitative researchers recognise that

the issue they are studying has many dimensions and layers, and so they try to portray the issue in its multifaceted form (Leedy & Ormrod, 2001:147).

Qualitative research produces descriptive data and usually no numbers or counts are made. Qualitative researchers often formulate only general research problems and ask only general questions about the phenomenon under study. However, the research problem asked in this study did not stay loosely defined. As the study proceeded the researcher got a better idea on the nature of the phenomenon and problem. The study thus *evolved* over the course of the study (Leedy & Ormrod, 2001:148).

The main findings, taking the objectives into account, will be discussed next.

9.3 MAIN FINDINGS OF THE RESEARCH

Qualitative research was conducted, and the researcher first undertook a pilot study and later held interviews. The interviews were held with thirteen municipal officials at the three Northern Free State municipalities. The results of the interviews were discussed in Chapter 2.

In **Chapter 1** of this thesis the Constitution and other legislation and policies on the human resource provisioning in local government were highlighted. These policies and legislation impact on how municipalities in the Northern Free State and other municipalities should go about in general in the provision of effective and efficient service delivery, such as water, sanitation and electricity.

Mention was made of other forces impacting on human resource provisioning in the municipalities – the emergence of affirmative action and political deployments. In Chapter 1 it was also mentioned that proper human resource provisioning in the Northern Free State municipalities was not an area of high priority, because it hampered *greedy* municipal officials, including municipal councillors from appointing

their desired, incompetent and unskilled friends. In the problem statement, a lack of effective and efficient human resource provisioning was identified as a source of poor service delivery to the communities by the researcher at the three Northern Free State municipalities during the empirical study.

In **Chapter 2** of this thesis results of the interviews at the three Northern Free State municipalities were analysed. Common problems at the three municipalities were identified by the researcher with regard to human resource provisioning. These common problems were discussed in detail in Chapter 2.

In **Chapter 3** the legislative environment was analysed. It has been indicated, that for municipalities to plan for human resource provisioning in municipalities Chapter ten of the Constitution must be recognized as point of departure. Chapter ten of the Constitution states that the Public Service/Administration must function and be structured, in terms of national legislation, and must loyally execute the lawful policies of the government of the day and that good human resource management and career-development practices, to maximize human potential, must be cultivated. The EEA strives, for the eradication of unfair discrimination in any form of hiring, promotion, training, pay, benefits and retrenchments in public institutions and private organizations.

The *White Paper on Human Resources Management in the Public Sector*, 1997 and other White Papers mentioned in Chapter 3, set the tone for the public and private sector to adhere to the national policies on planning, recruitment and selection of employees, who are knowledgeable and conversant with the vision, mission and objectives of the Public Sector, especially municipalities, as the level of government which is at the grassroots level, closest to the people.

The knowledge gained by the researcher from studying relevant legislation on human resource provisioning is important for the development of a human resource provisioning policy for the municipalities. Guidelines presented in legislation, along

with theoretical principles, must form the foundation of a human resource provisioning policy. The guidelines set out in the discussed legislation in this Chapter are interwoven with the policy to be developed.

In **Chapter 4** of this thesis the theory and principles of human resource provisioning, as a dynamic process towards the development of a policy, were discussed. Human resource provisioning can be demarcated into human resource planning, job analysis, recruitment and selection of capable, skilled, efficient and productive people. A municipality is better equipped to cope with human resource provisioning if decisions can be taken unhurriedly and by considering all relevant options, rather than being taken in crisis situations.

Job analysis helps towards human resource provisioning in municipalities in that it focuses immediately on the essential requirements for effective performance, provision of the criteria for defining and assessing standards of potential and actual performance. Recruitment strives to identify and provide, in a cost-effective manner, a pool of job applicants who are potentially qualified to do the job, and it builds the municipality's capability in a changing market place. Recruitment brings into the organization skills and experience that cannot easily be built from within.

Selection implies a focused choice among alternative candidates for employment based on some established criteria, and it is important to know the skills, knowledge, experience and attributes required for effective performance. Selection also has to include placement and training.

Chapter 5 of this thesis concentrated on the policy-making process. It is a dynamic one, characterized from the problem and goal formulation phase to the policy evaluation phase, by the reaching of decisions, the planning of activities, and the making of choices between alternatives. This forms an essential component in the daily activities of a local government institution in that the needs of the community are normally embodied in a policy (Quade, 1989:77).

The complex nature of policy-making is confirmed by the policy-making process. During the problem and goal formulation phases, policy-makers need to determine the needs and problems of the community and decide which problems or needs to include on the policy agenda. This implies that not all problems and needs can be taken into account by policy-makers and that only those problems and needs that enjoy the highest priority are included in the policy agenda. It is only once problems have been included in the policy agenda that policy-makers can formulate policy objectives.

The policy-making process does not end upon completion of the evaluation phase. Often evaluation outcomes lead to the identification of a new problem or the realization that the existing policy or a part thereof is insufficient. This can lead to the identified problem having to go through the policy-making process from the beginning again before it can be resolved. The ever-increasing problems originating from the environment are related to the needs that are constantly developing within the community and which have to be addressed and satisfied by policy-makers. It is as a result of the omnipresence of problems and needs in the community that the value of the policy-making process must not be underestimated. This process creates a channel through which the community's problems and needs can be identified and resolved in a systematic and scientific manner.

Chapter **6** of this thesis indicated that for municipalities to plan for, recruit and select competent employees, and for these employees to be productive and act according to the rules and regulations governing the employer and the employees, it is important for local government employees to be conversant with Chapter 10 of the Constitution. There it is stated that the Public Service/Administration must function and be structured in terms of national legislation, and must loyally execute the lawful policies of the government of the day and that good human resource management and career-development practices, to maximise human potential, must be cultivated. Other legislation and White Papers were also discussed in this Chapter, outlining how policy for human resource provisioning should be aligned.

Chapter 7 of this thesis concentrated on addressing human resources problems at the hand of a model. A model is an abstract representation of the actual situation and aims to explain and make predictions about a problem or need identified within the community so that proposals can be developed to resolve the problem or need in question. A policy model for the creation of policy for human resources provisioning aims to propose solutions to the inefficient functioning of the human resource departments in the three Northern Free State municipalities. The composition of a policy model for human resource provisioning in a municipality is a complex process. This can be ascribed to the fact that in theory there are many policy models that have narrow application value. The narrow application value of policy models arises from the fact that such models are **firstly** descriptive or normative. **Secondly**, it appears in theory that policy models focus on different aspects of policy. The systems model, for instance, is descriptive in nature and focuses on the environment and environmental influences, while the incremental policy model is normative and focuses on historic aspects in order to create policy.

A policy model consists of four phases, namely the environmental reconnaissance phase, the preparation phase, the policy-making phase, and the feedback phase. During the environmental reconnaissance phase, events in the environment within which the Northern Free State municipalities functions and which can have an influence on the other phases of the policy model, were identified and analysed. This involved the identification of the value system, environmental influences and strong and weak points arising from the environment and value system.

While policy could be defined in several ways, implementation **(Chapter 8)** moves from originally set political goals to results on the ground, which is service delivery. It is important to stress that policy formulation and implementation are not necessarily consecutive processes, but are in many cases parallel processes where policy design or redesign and revision can take place even during the formal implementation stages of the policy. For a successful implementation of a human resource provisioning policy and other policies, all risks have to be taken into

account and the stakeholders involved in the implementation of these policies have to at least accept the technical changes and developments in an institution.

If correctly followed, the Implementation Maturity Model (IMM) proposed by the researcher as a model to be used in order to implement human resource provisioning policies and other policies, the believe is that it will be a useful instrument that will help municipalities to be able to assess and determine the degree of maturity of their policies implementation processes.

9.4 SIGNIFICANCE OF THE STUDY

The researcher is of the opinion that the study could contribute towards improving the provision of better services to the communities in the Northern Free State. This in turn could lead to more people paying for the services being rendered to them by the municipalities, and unnecessary riots and public disturbances would be eliminated.

Municipalities should, at least in a limited way, aspire to become more proactive, service oriented and becoming more relevant in what they provide to the communities. This study should also be seen as a wake up call for other local governments in the Free State and the Republic of South Africa.

9.5 LIMITATIONS OF THE STUDY

The following aspects are indicators of the demarcations of this research:

1. Only Acts and policies in terms of the South African context are regarded as directive, although international tendencies should not be ignored.
2. Although the target group is adherent to the three Northern Free State municipalities (pilot study excluded), the researcher interviewed thirteen participants during the empirical study (see Chapter 2 for the empirical study).

9.6 RECOMMENDATIONS OF THE STUDY

In the study it has been found that there were problems with regard to the implementation of human resource provisioning policies in the three Northern Free State municipalities. Based on the findings in the study, such as lack of knowledge about policy-making processes, lack of planning for human resource provisioning and lack of availability of job analysis, it is recommended that the following two approaches for the successful implementation of human resource provisioning policies be followed in the Northern Free State municipalities. (Four approaches were discussed in chapter 8):

1. The phased approach.
2. The pilot approach.

9.6.1 Phased approach

The phased implementation approach is favoured by many organisations/institutions, because it is seen as having fewer risks and being more economical than other approaches. However, there will still need to be two systems in operation for a defined period, adding to the complications and requiring additional resources. Advantages of the phased approach are, inter alia, the following (www.jisinfonet.ac.uk):

1. There is an implementation timescale that is not bound by other more important factors.
2. A phased implementation will not impact the full implementation adversely when it eventually takes place.
3. A phased implementation will not need to be dismantled or disengaged at great expense when the full implementation takes place.
4. A phased implementation will be better accepted within the politics and culture of the institution.

5. The costs of full implementation are too onerous to incur at one time.
6. The activities of full implementation are too demanding to conduct at one time.
7. There is a need to show an immediate return on investment.

9.6.2 Pilot approach

This approach is seen as having the least risks and being the most economical, especially if the requirement to operate two systems simultaneously with the attendant additional resources can be restricted to a short period and a single operational unit. Advantages of the phased approach are, inter alia, the following (www.jisinfonet.ac.uk):

1. There is an implementation timescale that is not bound by other important factors.
2. There are separate departments in which the system can readily be implemented earlier than others.
3. There is a department or group of users that is particularly influential within the institution.
4. A pilot implementation will be better accepted within the politics and culture of the institution.
5. Funding has not been granted for a full implementation or its approval depends on the success of the pilot.

9.7 CONCLUSION

Taking into account the current demanding scenario of the three Northern Free State municipalities with regard to lack of effective, quality and efficient delivery of services to the communities, huge challenges are facing these three municipalities. This scenario is clearly indicated in Chapter 2.

One of the most pressing challenges is to effectively ensure that politicians do not stall the appointment of skilled, capable and competent prospective employees in the three Northern Free State municipalities. The sooner human resource departments are not hampered in executing their duties, the better it will be for the three Northern Free State municipalities, as they will be able to achieve their set objectives.

In this chapter, general conclusions were made from Chapter 1 to 8, based on the objectives of the study, and the contents of the study were further evaluated and findings were made. From the evaluations and findings of the study, it was possible for the researcher to find answers to the research questions and to validate the hypothesis as mentioned in Chapter 1. These answers are discussed in Chapter 2.

It can therefore be concluded that according to the findings of the study, as outlined in Chapter 2, that human resource provisioning activities in the three Northern Free State municipalities are not properly adhered to and if they are implemented, are implemented in a very fragmented way. Another problem is the lack of effective and efficient communication of decisions based on human resource provisioning policies to all stakeholders in the three municipalities.

As a solution to the afore-mentioned situation of lack of proper human resource provisioning policies in the three Northern Free State municipalities, the researcher has drafted a new proposed human resource provisioning policy model. It is also suggested that the most pressing challenge the three Northern Free State municipalities are facing is to effectively ensure that politicians do not stall the appointment of skilled, capable, experienced and competent prospective employees, senior managers and municipal officials execute their duties without interference from anybody, that proper planning for human resource is adhered to and that the policy-making process is followed correctly. The sooner human resource departments in the three municipalities are not hampered in executing their duties, the better it will be for the three municipalities, as they will be able to achieve their

set objectives of providing efficient, world class and acceptable services to the communities they serve.

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APPENDIX A: Letter of request to municipalities

Dear Sir/ Madam

I am currently in the position of a Faculty Administrator, in the Faculty of Health and Environmental Sciences at the Central University of Technology, Free State, in Bloemfontein, South Africa. My main functions are partly related to the title of my research: **TOWARDS A HUMAN RESOURCE PROVISIONING POLICY FOR MUNICIPALITIES IN THE NORTHERN FREE STATE**, which I am writing to obtain a PhD in Higher Education at the North-West University (Potchefstroom Campus), student number 11328150. My main promoter is Prof. W.J. van Wyk.

As indicated by the title, the overall goal of this research is to create a human resource policy for the local government in the Northern Free State. The value and relevance of the policy can only be enhanced through the contribution of knowledgeable people in the field on local government and human resource provisioning.

I am fully aware that you have a busy schedule, but I would like to enquire whether it would be possible for you to assist me in arranging meetings with two to three human resource personnel at your municipality, during the week of 3-7July, 2006.

Your help and cooperation will be highly appreciated. I also wish to thank you for your time spent in reading this communication. I am looking forward to hearing from you.

Yours faithfully

.....
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North-West University (Potchefstroom Campus)

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APPENDIX B : PILOT STUDY

Question 1

Briefly indicate the total number of employees that your municipality has, the number of towns under your municipality and the estimated population?

Question 2

Every institution has to be managed accordingly, in order to achieve its vision, mission and goals.
What do you think is the importance of human resources in the daily management of a municipality?

Question 3

Your communication to your staff members, and the addressing of their conditions of service, has to be based on the municipality's regulatory codes.
Do you have human resource policies?

Question 4

You are conceived to be an expert in human resources and in communicating policies to the rest of your staff.
Why do you think it is important to draft human resource policies, and is your human resource provisioning policy in line with the statutory and regulatory framework for human resource provisioning?

Question 5

There is legislation that governs employees in the Republic of South Africa.
Can you mention relevant legislation that you know which municipal employees must be made aware of?

Question 6

How, in terms of your municipal structure, is the relationship with human resources to your executive management?

Question 7

Is there any outside interference that blocks your effective and efficient execution of your daily duties in human resource?

APPENDIX B: EMPIRICAL STUDY

A. Questions on human resource provisioning legislation.

1. Do you understand the relationship between legislation, human resource provisioning and existing policies in the municipality?
2. Do you understand the relationship between legislation and existing human resource provisioning policies in the municipality?
3. Can you give an indication of human resource provisioning policy based on legislation?

B Questions on human resource provisioning

1. What comprises the human resource activities in the municipality?
2. What problems do you experience with planning for human resource provisioning?
3. Does your department undertake job analysis?
4. Is the recruitment function in your department effective?
5. Do you experience any problems when it comes to the selection of candidates?

C. Policy-making in the municipality

1. Do you understand the phases in the policy-making process?
2. How do you determine flaws in the policy-making process regarding human resource provisioning?
3. What flaws are there currently in the human resource provisioning policies?

D. Questions on a model for human resource provisioning

1. Do you know what to do to change the situation regarding flaws in the current human resource provisioning activities in the municipality?
2. What steps or actions have to be taken to rectify unsound human resource provisioning activities?
3. How can policies be amended to secure sound human resource policies?

APPENDIX C: POLICY REVIEW CHECKLIST

A HUMAN RESOURCE PROVISIONING POLICY

Any change needs a proposal/ an initiator, and this could be any member from the stakeholders within the municipality. It is important to be able to clearly state why a policy needs to be developed or revised. Having a clearly defined rationale for change will help to engage the support of others. You can use the following checklist to assess if your human resource provisioning or any of your current policies need revising.

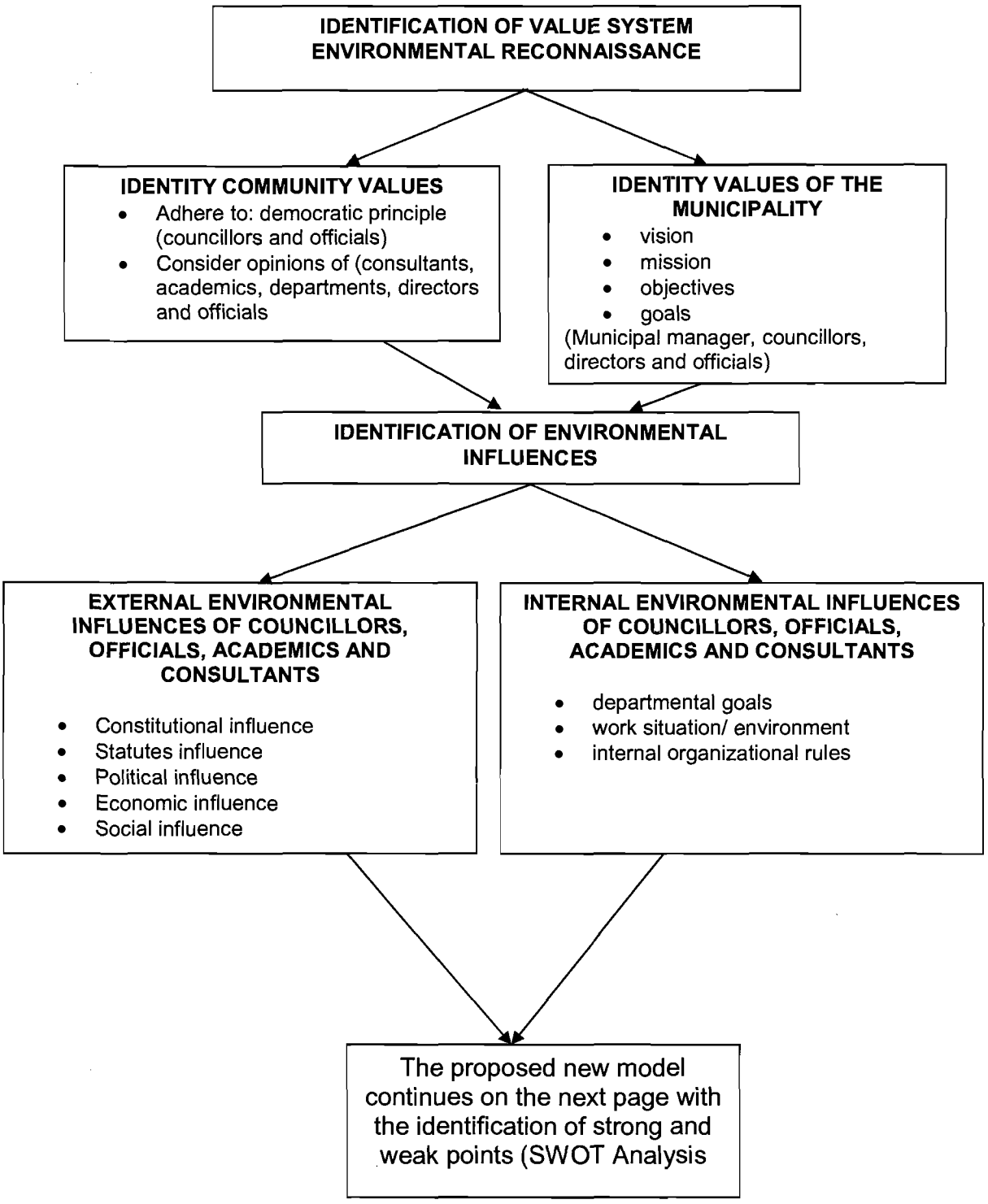
(Kindly circle the appropriate answer)

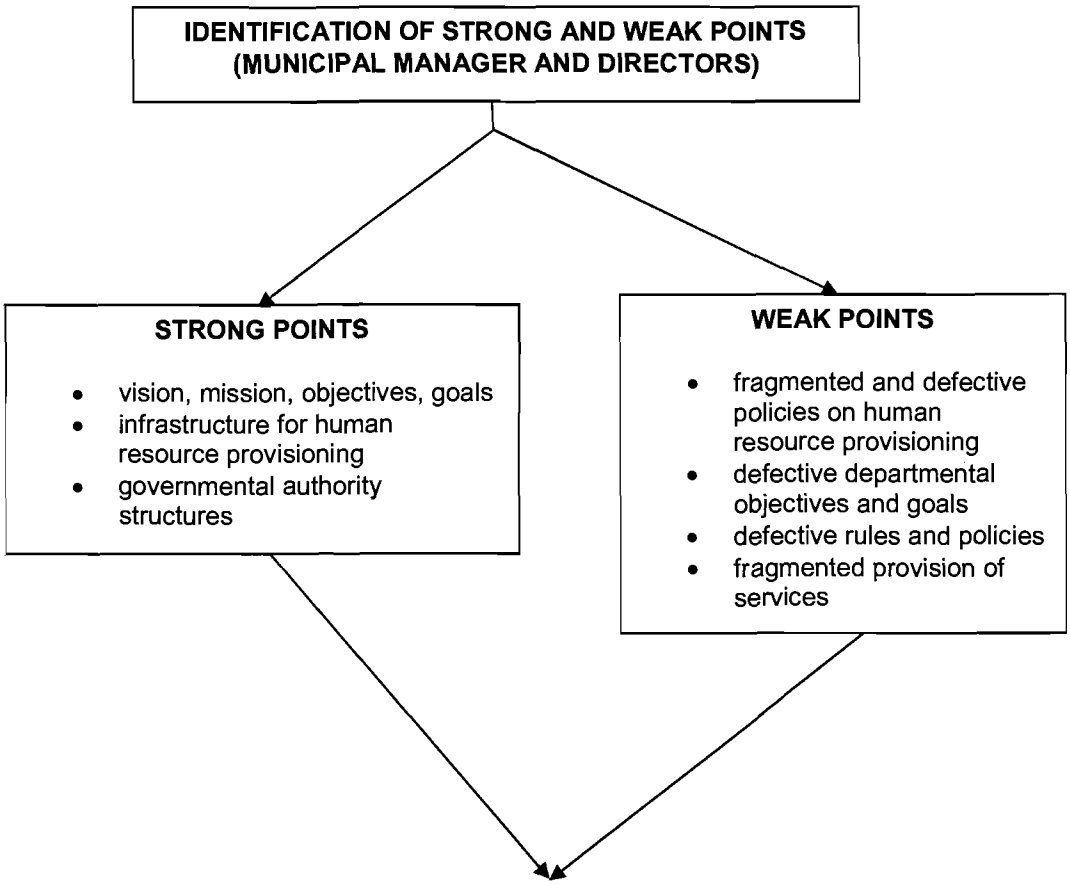
1. Does the policy provide some background information or rationale? (Does the policy say why it has been developed?	Yes	No
2. Does the policy clearly state its intended outcomes/ goals and objectives?	Yes	No
3. Is the policy presented in a language that is easily understood by the whole municipal staff?	Yes	No
4. Does the policy use appropriate terminology and definitions?	Yes	No
5. Does the policy incorporate/ recognize the role of (where relevant)	Yes	No
• Municipal Manager	Yes	No
• Directors	Yes	No
• Managers	Yes	No
• Support Staff	Yes	No
6. Does the policy reflect necessary legal expectations?	Yes	No
7. Is the policy consistent with government and local government department's human resource provisioning policy/ guidelines?	Yes	No
8. Has the policy been renewed recently (i.e. within the past two years)?	Yes	No
9. Were all role players within the municipality involved in the development, implementation and review of the policy?	Yes	No

A revision of the policy is strongly recommended if the response to any of the above questions is "no".

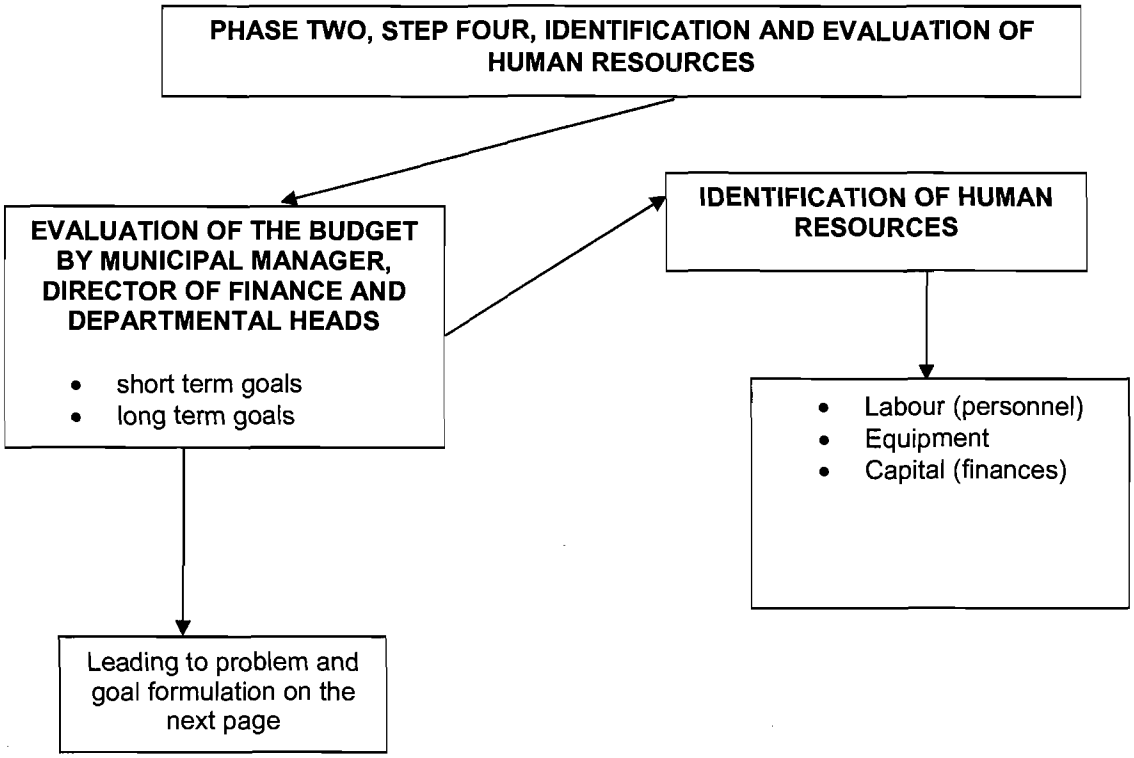
APPENDIX D

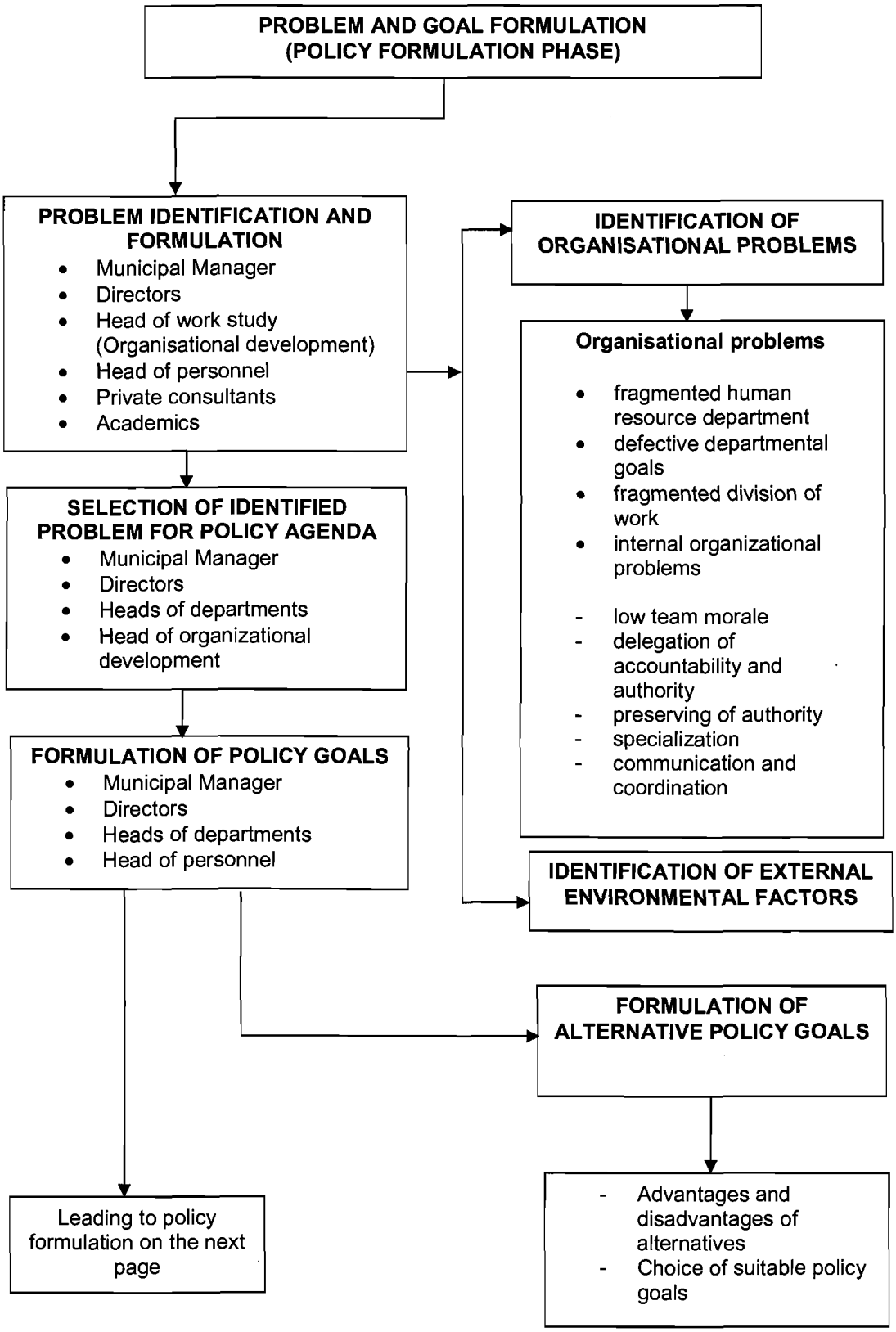
A PROPOSED NEW POLICY MODEL FOR HUMAN RESOURCE PROVISIONING IN THE NORTHERN FREE STATE MUNICIPALITIES



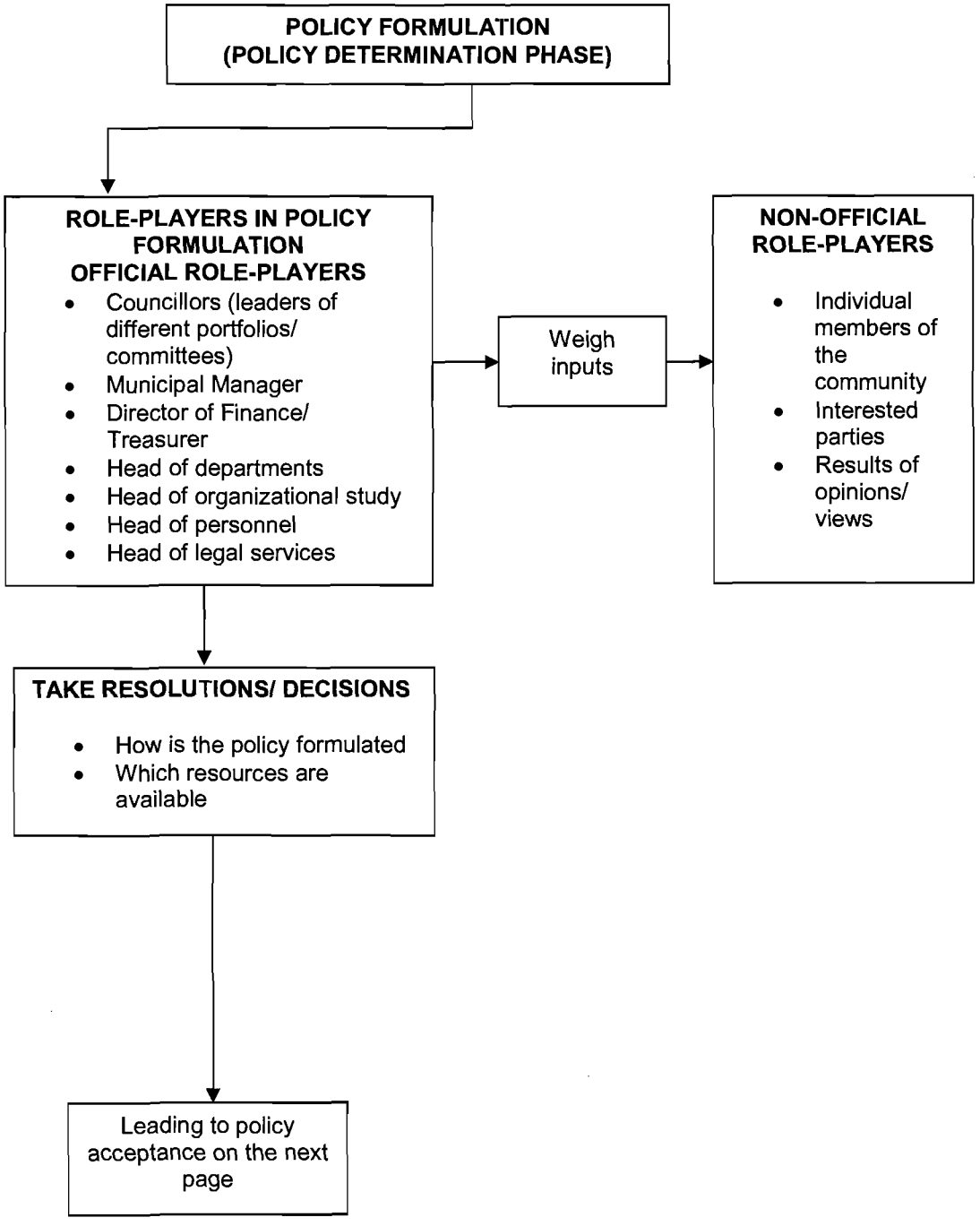


PHASE TWO, STEP FOUR, IDENTIFICATION AND EVALUATION OF HUMAN RESOURCES

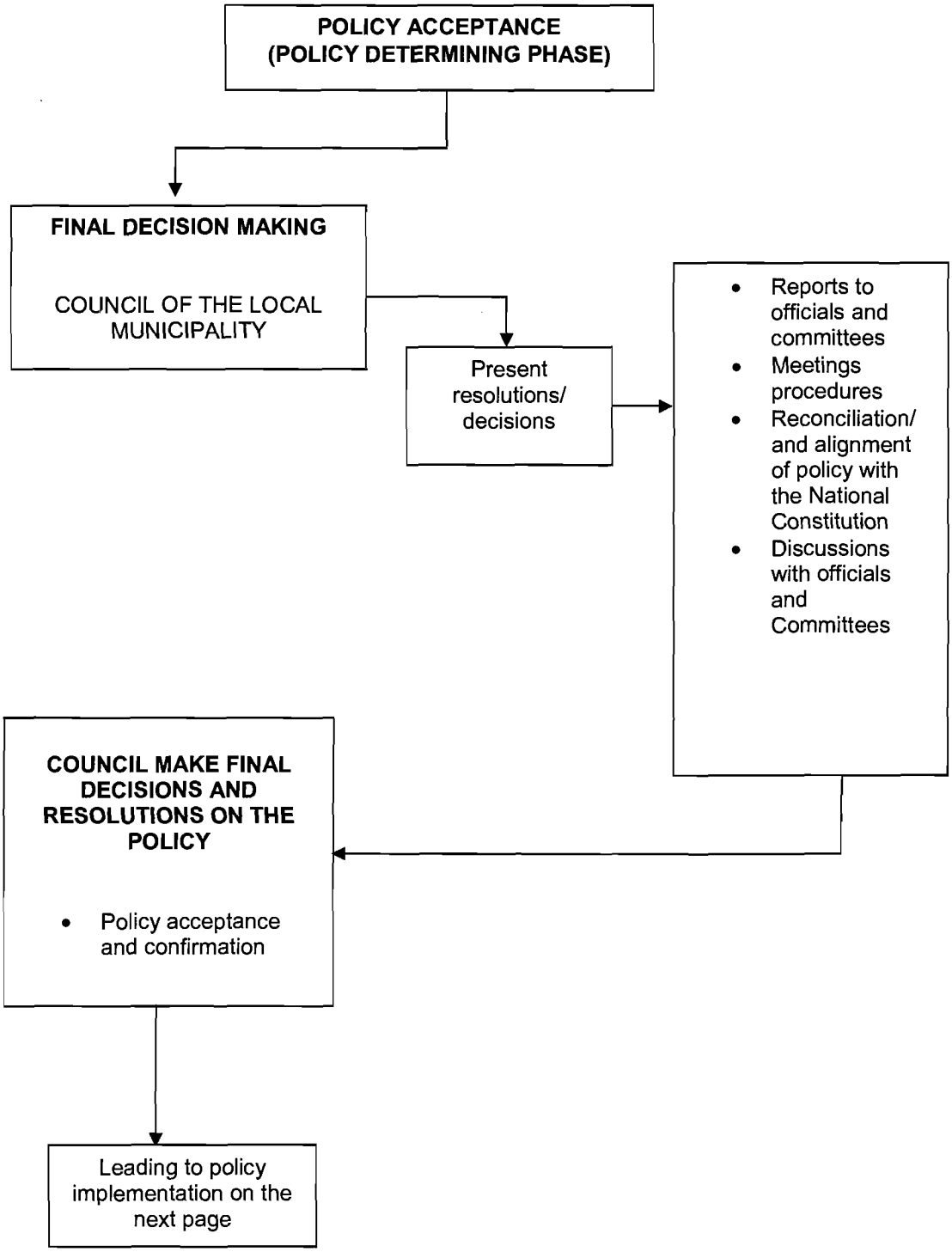



PROBLEM AND GOAL FORMULATION
(POLICY FORMULATION PHASE)
PROBLEM IDENTIFICATION AND FORMULATION
• Municipal Manager
• Directors
• Head of work study (Organisational development)
• Head of personnel
• Private consultants
• Academics
IDENTIFICATION OF ORGANISATIONAL PROBLEMS
Organisational problems
• fragmented human resource department
• defective departmental goals
• fragmented division of work
• internal organizational problems
- low team morale
- delegation of accountability and authority
- preserving of authority
- specialization
- communication and coordination
SELECTION OF IDENTIFIED PROBLEM FOR POLICY AGENDA
• Municipal Manager
• Directors
• Heads of departments
• Head of organizational development
FORMULATION OF POLICY GOALS
• Municipal Manager
• Directors
• Heads of departments
• Head of personnel
IDENTIFICATION OF EXTERNAL ENVIRONMENTAL FACTORS
FORMULATION OF ALTERNATIVE POLICY GOALS
- Advantages and disadvantages of alternatives
- Choice of suitable policy goals
Leading to policy formulation on the next page

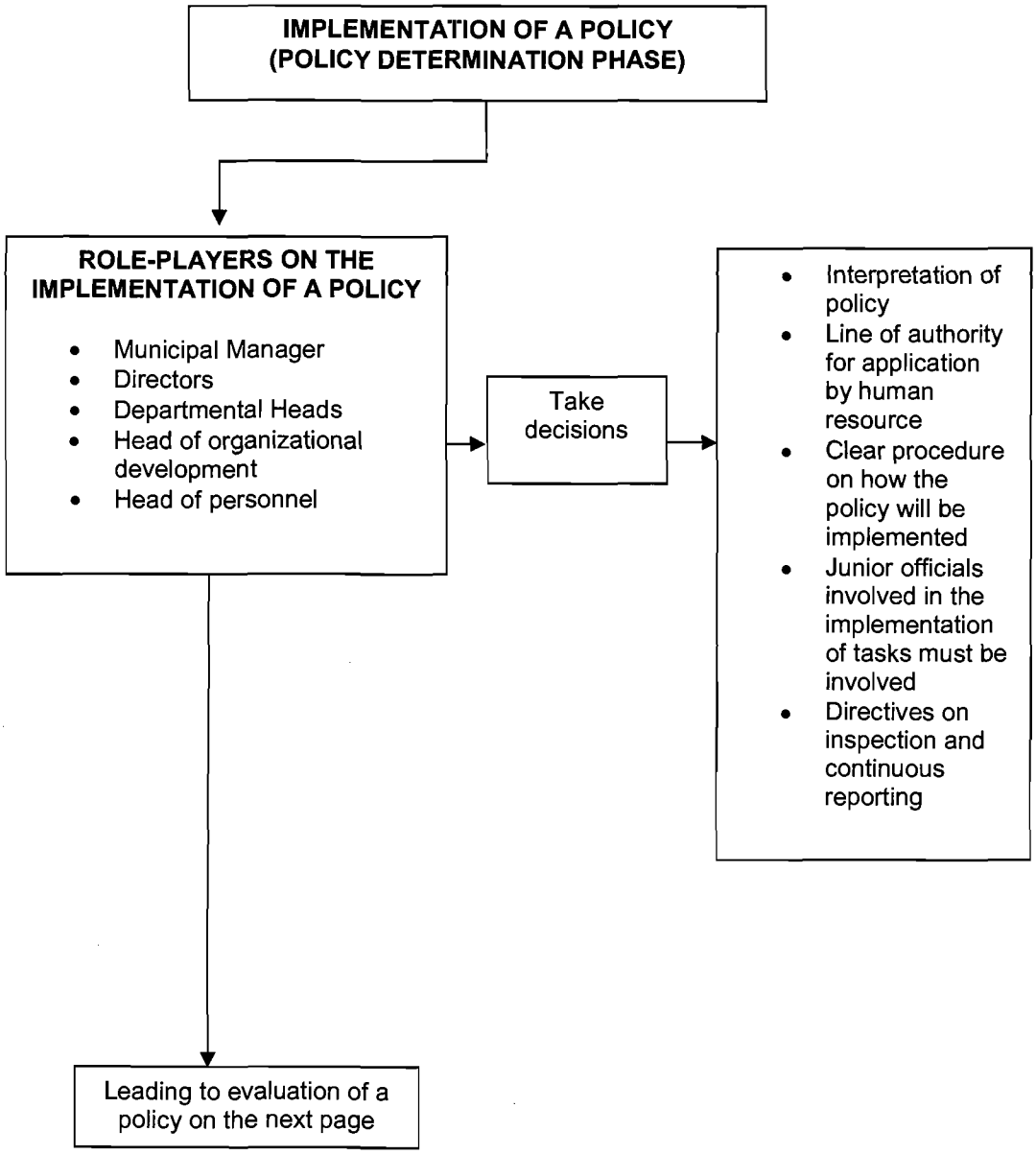
PHASE THREE, STEP SIX, POLICY FORMULATION



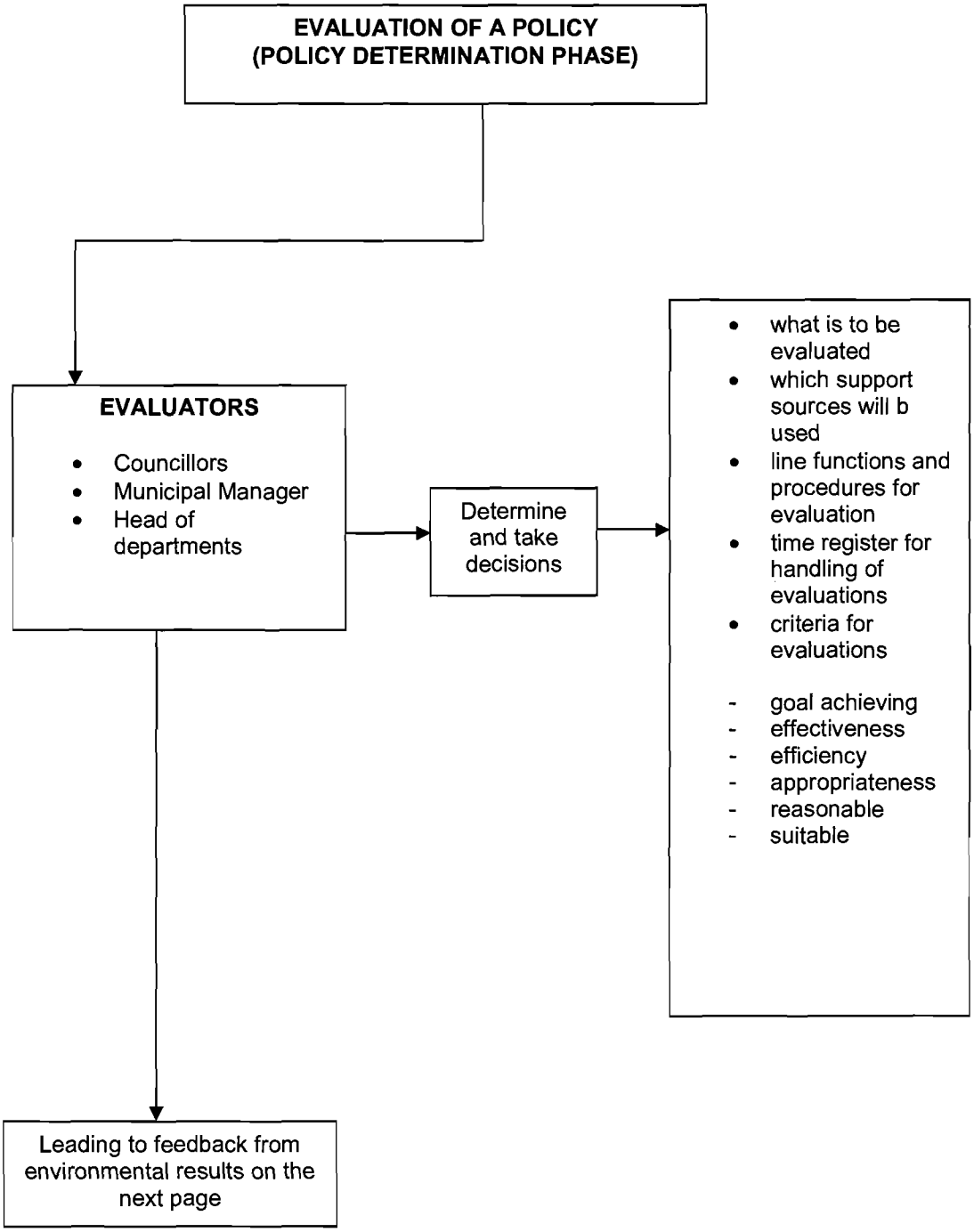
POLICY ACCEPTANCE



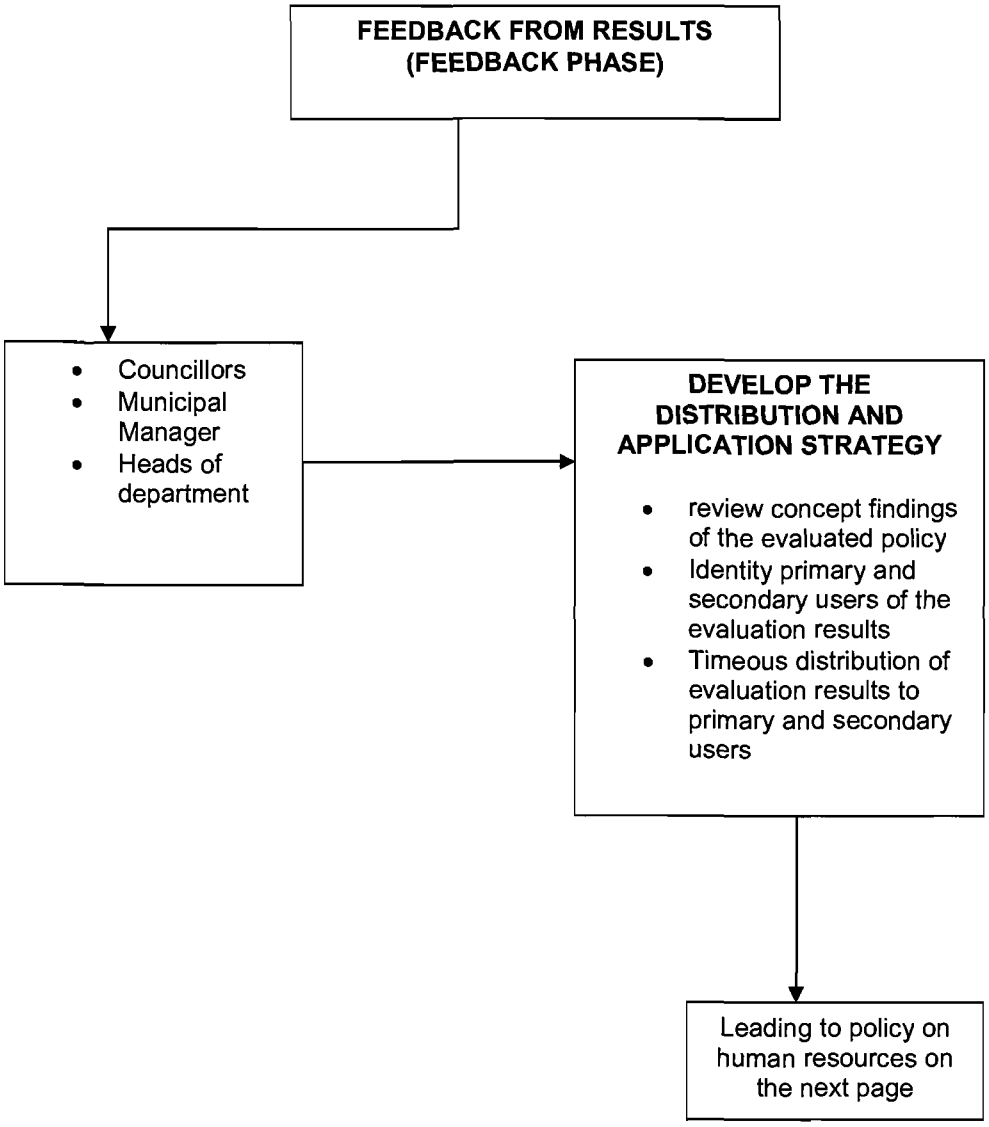
IMPLEMENTATION OF POLICY



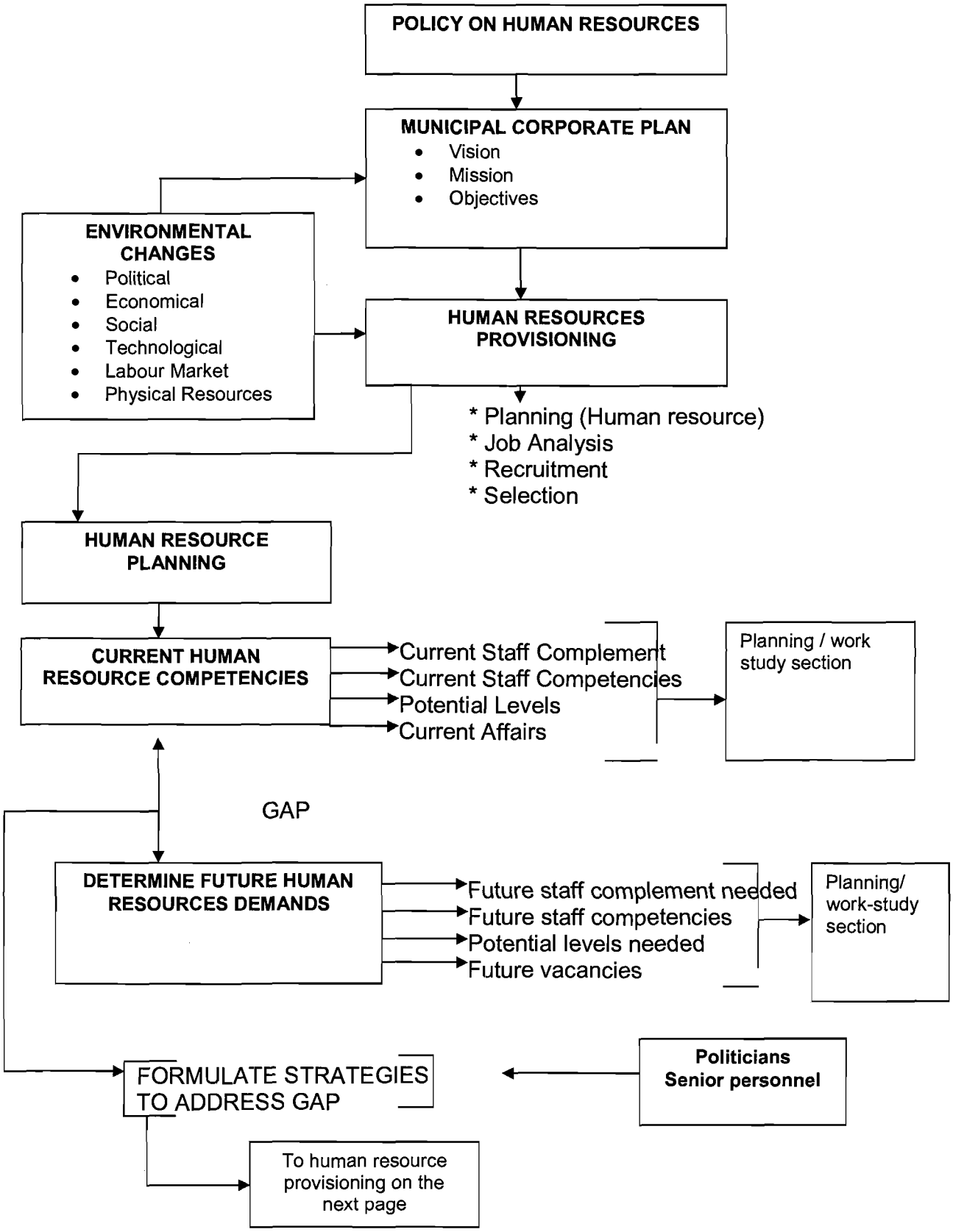
EVALUATION OF A POLICY

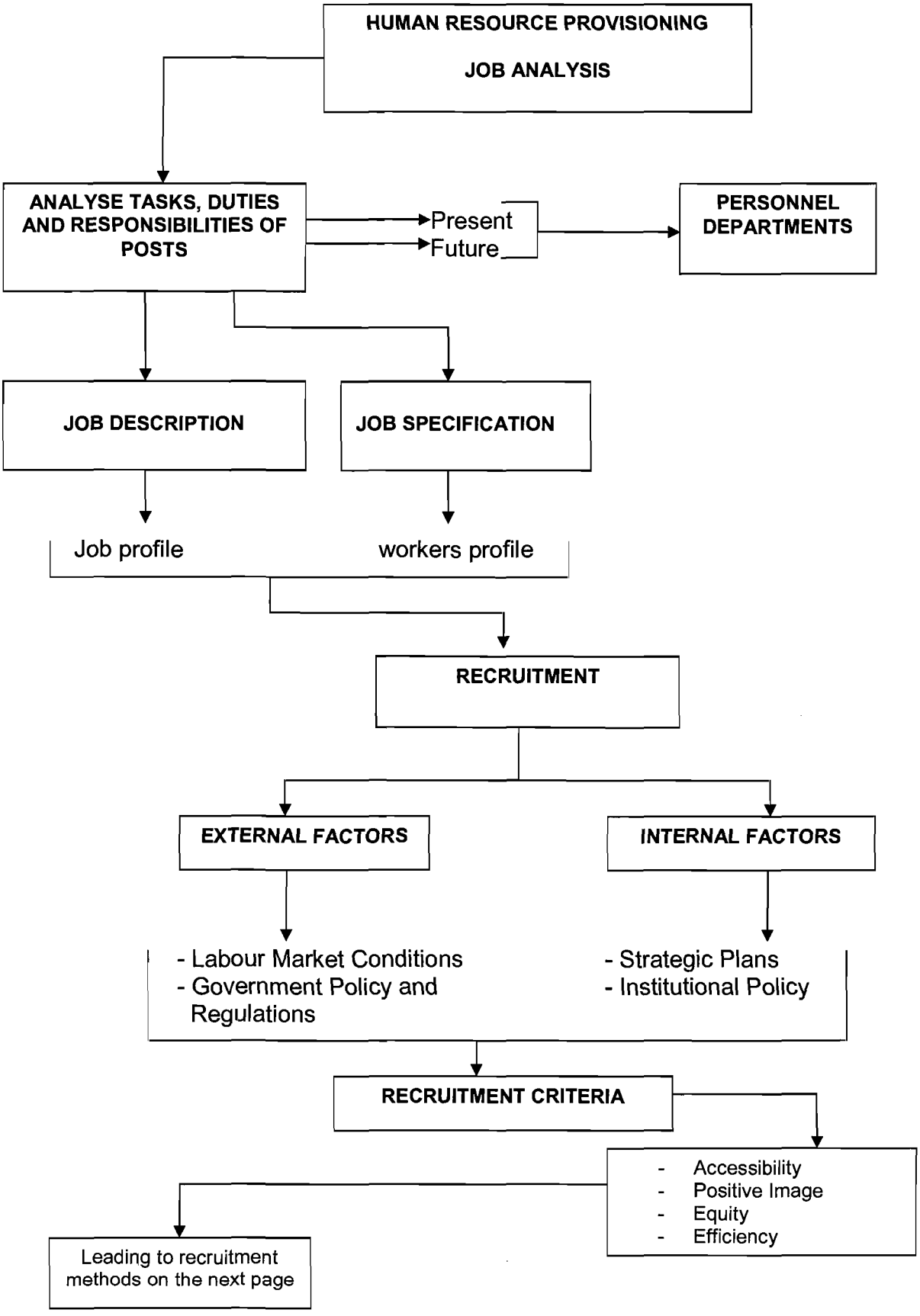


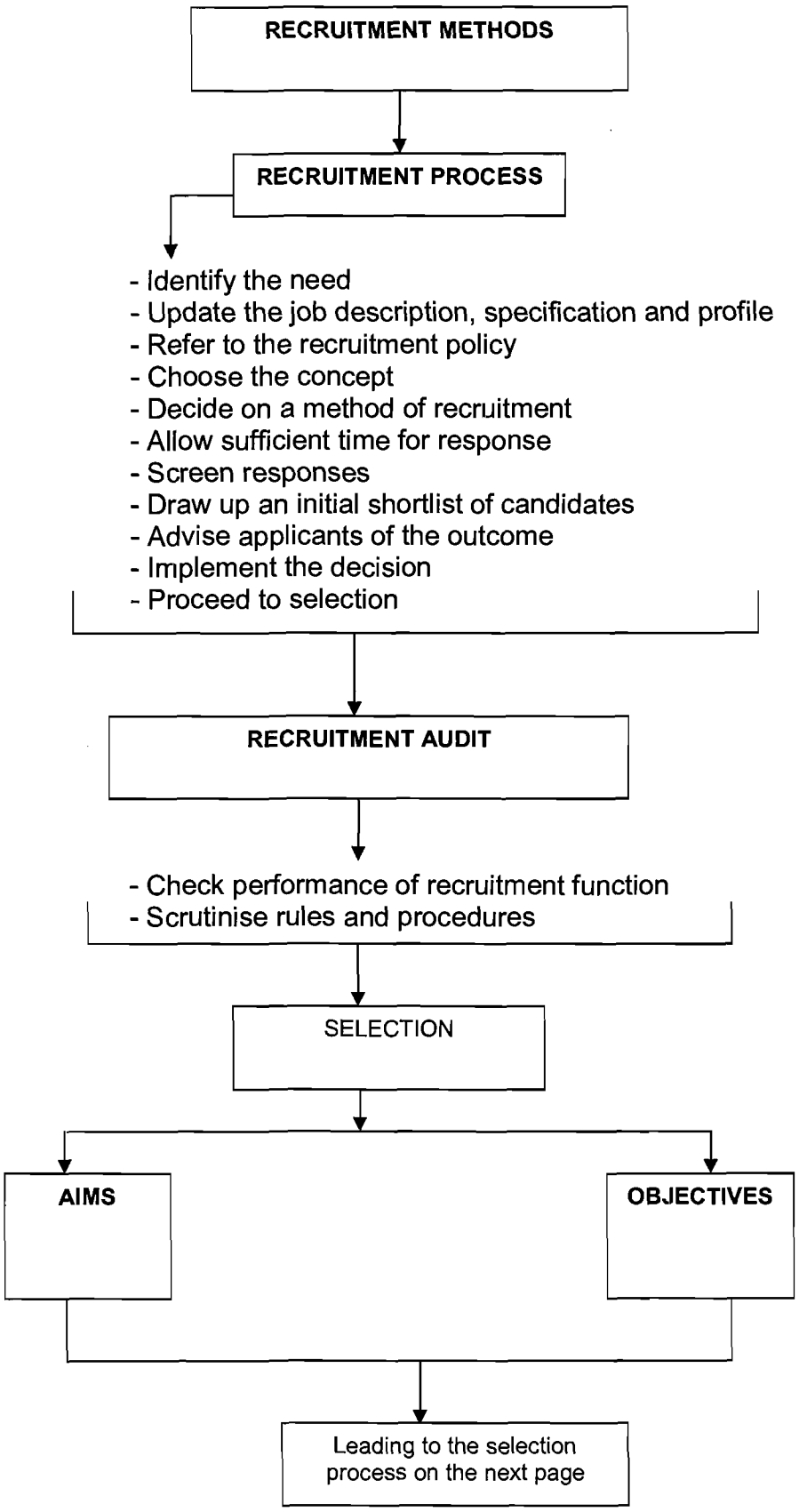
FEEDBACK FROM ENVIRONMENTAL RESULTS

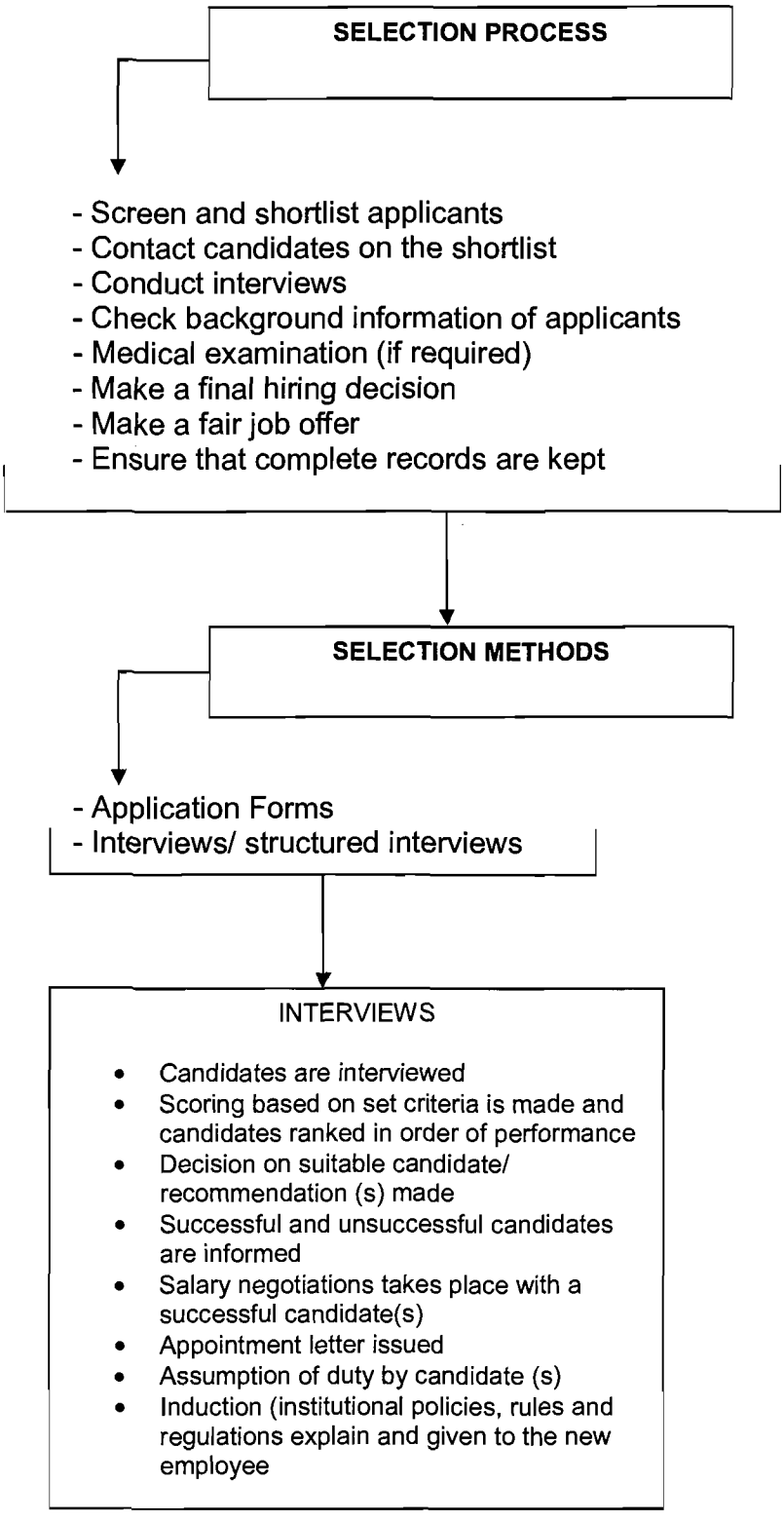


POLICY ON HUMAN RESOURCES




HUMAN RESOURCE PROVISIONING
JOB ANALYSIS
ANALYSE TASKS, DUTIES AND RESPONSIBILITIES OF POSTS
Present
Future
PERSONNEL DEPARTMENTS
JOB DESCRIPTION
JOB SPECIFICATION
Job profile
workers profile
RECRUITMENT
EXTERNAL FACTORS
INTERNAL FACTORS
- Labour Market Conditions
- Government Policy and Regulations
- Strategic Plans
- Institutional Policy
RECRUITMENT CRITERIA
- Accessibility
- Positive Image
- Equity
- Efficiency
Leading to recruitment methods on the next page


RECRUITMENT METHODS
RECRUITMENT PROCESS
- Identify the need
- Update the job description, specification and profile
- Refer to the recruitment policy
- Choose the concept
- Decide on a method of recruitment
- Allow sufficient time for response
- Screen responses
- Draw up an initial shortlist of candidates
- Advise applicants of the outcome
- Implement the decision
- Proceed to selection
RECRUITMENT AUDIT
- Check performance of recruitment function
- Scrutinise rules and procedures
SELECTION
AIMS
OBJECTIVES
Leading to the selection process on the next page


SELECTION PROCESS
- Screen and shortlist applicants
- Contact candidates on the shortlist
- Conduct interviews
- Check background information of applicants
- Medical examination (if required)
- Make a final hiring decision
- Make a fair job offer
- Ensure that complete records are kept
SELECTION METHODS
- Application Forms
- Interviews/ structured interviews
INTERVIEWS
• Candidates are interviewed
• Scoring based on set criteria is made and candidates ranked in order of performance
• Decision on suitable candidate/ recommendation (s) made
• Successful and unsuccessful candidates are informed
• Salary negotiations takes place with a successful candidate(s)
• Appointment letter issued
• Assumption of duty by candidate (s)
• Induction (institutional policies, rules and regulations explain and given to the new employee