An evaluation of Human Resource Management practices at tertiary institutions in the Western Cape Province

BY

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A thesis submitted in fulfillment of a Doctor of Philosophy Industrial Psychology degree at North-West University, Mafikeng Campus

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Date: October 2016

DECLARATION

I, **LILLIAN ZANDILE BINGO**, hereby declare that the PhD thesis in Industrial Psychology at the North-West University, Mahikeng Campus, is my original work and has not been submitted by me or any other person at this or any other university for degree purposes.

I also declare that all sources consulted for the purposes of this study have, to the best of my knowledge, been duly acknowledged.

_____ October 2016.

L. Z. Bingo.

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I THANK JEHOVAH GOD FOR GIVING ME STRENGTH AND WILLPOWER TO COMPLETE THIS WORK.

DEDICATION

I dedicate this work to my late parents, Timothy and Maggie Bingo, who passed away before they could see the fruits of their beloved and youngest daughter's labour.

ABSTRACT

Title of the thesis: "An evaluation of Human Resource Management practices at tertiary institutions in the Western Cape Province".

Background

Despite the masses of literature on HRM practices, there is little evidence of research studies that examine the evaluation (or lack thereof) of Human Resource Management (HRM) practices in educational settings such as tertiary institutions.

The aim of this study was to assess to what extent tertiary institutions in the Western Cape Province evaluate their respective HRM functions. The ultimate goal of the study was to develop a model for HRM function evaluation, based upon the findings of the study.

Research design

A qualitative research design was used for the purposes of this study which enabled the researcher to be intensively involved with the participants and to gain a thorough understanding of their behaviour as well as the motives for such behaviour.

This study was undertaken at two tertiary institutions in the Western Cape Province.

The target population was confined to the HRM departments, as well as their clients in the various faculties and departments at both institutions.

The results of semi-structured interviews with respondents at both institutions A and B were thematically analysed.

Findings

The empirical investigation revealed that the HRM function as a whole was not completely evaluated at both institutions.

It also revealed that HRM in its entirety, as viewed by faculties, departments and units, was lacking the capacity to deliver and provide an adequate service.

The findings further indicated that HRM functions like recruitment and selection, performance management, compensation, training and development as well as employee relations, were not evaluated in both of the institutions due to a lack of monitoring and evaluation mechanisms.

The perception of HRM has changed for the better after the employment of Executive Directors and the changes they implemented, especially the redeployment of some of the HRM staff to the faculties, departments and units within the institutions. The study further showed that HRM was viewed as a strategic partner and participated in managements' decision-making.

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CHAPTER 1
ORIENTATION OF THE STUDY

1. INTRODUCTION

The rapidly changing economic environment, charact99erised by globalisation and ever-increasing competition, has become a norm for most organisations. To be able to survive in this environment, they need to continually improve their performance (Labonte, 2003). This external environment will, in turn, make them aware of the existing opportunities and threats in order to survive competition and maintain their growth (Ramlall, 2003). Some organisations look beyond what was previously not considered to be a potential source of competitive advantage, for instance, Human Resource Management (HRM) ("Human Resource Management…", 2004:20). HRM practices influence organisational performance in relation to employees' ability, motivation and opportunity to participate (Appelbaum *et al*., 2000). A study conducted by Akhtar *et al*. (2008), revealed that strategic HRM practices had an influence on organisational performance.

Katou and Budhawar (2006) argue that HRM practices do not lead directly to business performance, instead, they influence employee behaviour and it is this behaviour that ultimately leads to performance. These organisations acknowledge that people are a source of competitiveness, and that people contribute significantly to the financial performance of their organisations. This has resulted in these organisations widening the focus of HRM. HRM is now becoming a strategic partner, responsible for contributing to the achievement of organisational goals. This has led to the development of ways in which human resource effectiveness can be evaluated (Cabrera & Cabrera, 2003; Human Resource Management International Digest, 2004:20), since there is a wide rangeof arguments on how effective this function is in any organisation (Yusoff, *et al.,* 2009). Ramlall (2003) also argues that, although HR professionals believe that their efforts added value to the organisational goals, there was limited evidence to prove that.

However, it is important for organisations to have effective human resource practices and policies, appropriate to their businesses and industries, to ensure their competitiveness and profitability (HR Millenium, nd). The effectiveness of human

resource practices needs to be measured, evaluated or audited to ensure that value-added contributions are being made, and to indicate where changes in this direction are necessary (Armstrong, 2003:77). It should not be viewed as a method for exposing managers. Instead, managers need to welcome it as a tool for assisting them in managing their functional responsibilities better; as well as a means for establishing management accountability and control.

It should be noted that there are various terms used for the “evaluation” of HRM practices. Some of these include assessment, measuring and auditing as indicated above, but all of these terms have a similar meaning, that is, the evaluation of HRM practices. To avoid confusion, the term ‘evaluation’ was be used in this study.

2. THE EVALUATION OF HUMAN RESOURCE PRACTICES.

2.1 Human Resource Management Practices

Various authours believe that excellent Human Resource Management practices significantly enhance the businesss performance and the potential for organisational success (Som, 2008; Verreault & Hyland, 2005). Adeyeye (2009) also stated that business organisations that employ HRM practices, such as comprehensive recruitment and selection measures, extensive employee participation and training, improved their bottom-line. According to Ostroff and Bowen (2004) in order to have skillfull and knowledgeable workforce, organisations need to recruit and select competent employees or provide them with formal or informal training.

Ahmed and Schroeder (2003) also state that the sophisticated technologies and innovative manufacturing practices in manufacturing firms need the necessary human resource management practices to ensure the improvement of their operational performance. Hence, it is necessary for organisations to cautiously evaluate their existing HRM practices in order to improve them.

2.2 Significance of Human Resource Practices at Institutions of Higher Learning.

Universities, like other business organisations, need to enhance their potential for success. According to Adeyeye (2009) universities should be able to attract, develop and maintain competent employees in order to support their goals and strategies. A study conducted by Shahzad *et al.* (2008) on HRM practices, such as, remuneration, promotion, performance evaluation and perceived employee performance, in Pakistani universities, revealed that HRM practices had a positive effect on the academics' performance, resulting in enhanced achievement and learning among students. They further indicated that, since universities were capital-intensive organisations, they were able to employ and retain highly skilled and competent academics, through compensation and promotion practices.

Although these universities may have highly skilled and competent lecturers, without the essential HRM practices, they may not be able to achieve their intended goals. As such, they need both highly competent and skilled academics, and the essential HRM practices to perform efficiently and effectively. Regardless of the type of business (e.g. education, manufacturing, retailing, etc.), or its sophisticated business practices, there is a compelling need for the essential HRM practices to ensure that its operations are carried out efficiently and effectively.

However, some authors have indicated that research on HRM practices is rarely conducted at academic institutions. This is evidenced in a statement made by Adeyeye (2009) when he maintains that there was lack of research on the relationship between HRM practices and performance at tertiary institutions. Janssen and Steyaert (2009) also stated that the HRM researchers rarely conduct research on the HRM practices of tertiary institutions where the involuntary research is not independent from ways in which recruitment, rewarding and career management are performed.

2.3 Which Human Resource Management Practices should be evaluated?

The evaluation of HRM practices is a comprehensive practice that includes various

measures, approaches and methods in trying to assess the quality of the human resources function of the organisation (Swanepoel *et al*., 2003:777). It is a process in which Human Resource Management and its functions are evaluated in their entirety (Bratton & Gold, 2007). The process of human resource management evaluation is naturally broad and covers areas encompassing all the HRM functions including managerial compliance of personnel policies, procedures and legal provisions; corporate strategy concerning other HRM activities; HRM climate on employee motivation, morale and job satisfaction (Aswathappa, 2005; Bandyopadhyay, 2007). It comprises a number of factors that focus on HRM department delivery areas such as strategic planning, remuneration, recruitment and retention of employees, industrial relations, reward systems, organisational behaviour, employee benefits, performance management, organisational development and change, employee relations, training and development, as well as communication and participation (Charalambous & Spiliotis, 2007; Ramlall, 2003; The Arnold Group, 2004; Wofford, 2003).

According to Borysowich (2008), human resource management policies and procedures may include recruitment and staffing, staff development, outplacement, performance evaluation, compensation and rewards, career management and promotions. The evaluation of HRM practices focuses mainly on the contributions made by the human resource management function towards the organisational goals (Swanepoel *et al.,* 2003).

A study conducted by Moideenkutty *et al*. (2009), revealed that organisations that empower their employees, and apply highly selective recruitment, broad training and performance management, are likely to perform better than those that do not. Another study, conducted by Uysal (2008), also revealed that recruitment, training and development, remuneration and employee advancement had a significant effect on organisational performance. Subramony (2006) argues that the application of intensive employee selection, reward for performance and employee participation would result in a skilled and motivated workforce.

HRM practices that were evaluated in this study included: recruitment and selection, training and development, performance management and remuneration. The reason

for selecting these practices is because these are some of the HRM practices that have been found to have a major impact on organisational performance.

3. THE NECESSITY OF EVALUATING HRM FUNCTION.

HRM function evaluation is currently a necessity in organisations. This is as a result of the ever-increasing global competition experienced by organisations (Mangusho *et al.* 2015; McLean, 2005). The evaluation in this case provides HRM with a clear view of what their strengths and opportunities are to survive this competition.

3.1 HRM contribution towards organisational goals.

It simply makes excellent business logic to indicate how the HRM function contributes to the organisational goals (Warech & Tracey, 2004). According to Belcourt (2001), there is presently, a common feeling amongst many executives that it is high time HRM has established and evaluated its contribution toward organisational goals, in order to avoid risking its function being outsourced. HRM evaluation is a fundamental tool for the management of an organisation (Olalla & Castillo, 2002). It is also an essential component of the organisation's internal control, due diligence as well as risk management (Adler, 2010).

According to Fizt-Enz (cited by Peiseniece & Volkova, 2010), the evaluation of HRM provides the following contributions to organisations or tertiary institutions:

- Good economic comprehension: Since HRM programmes need to show return on investment, the evaluation shows the value of the program by providing substantial proof that can be acquired through formal measurement and evalution processes.
- Proof of outcomes: The HR staff members need to see how they are contributing towards attainment of the organisation's or institition's goals.
- The results inspire the HRM staff members to focus on key activities: The evaluation would enable HRM employees to concentrate on the activities that make a difference in the contribution to organisational or institutional effectiveness.
- Data gathered for evaluation identifies the sources of any problems: The

evaluation would provide the necessary data to clearly identify sources of the problems and measure progress toward problem resolution when the problems can be corrected by HRM.

- The evaluation and measurement outcomes could lead to additional resources: The additional resources would be required for new programs, services and policies, as the HRM function proceeds to make contributions. Showing the results from previous programs through the evalution process would be one of the most effective ways to justify additional resources.
- The evaluation increases personal gratification and position: Personal gratification is derived from seeing the results of one's work, as such, evaluation permits the HRM staff members to judge their success.

Belcourt (2001) further provides compelling reasons why the HRM function needs to be evaluated. These are highlighted as follows:

- Labour costs usually cost organisations large sums of money.
- Managers appreciate the fact that employees make a distinction between the failure and success of projects and organisations.
- The HRM function ensures that organisations are in compliance with laws regulating the employer-employee relationship.
- HRM function evaluation determines HRM practices that are effective.
- The evaluation leads to continuous improvements.
- Audits bring HRM closer to the life functions of the organisations.

The evaluation not only ensures the effectiveness of HRM, but the development of HRM policies and practices that are in line with the labour regulations, and in turn, preventing the organisation from being sued for malpractices.

3.2 Organisations and Tertiary Institutions Suffer from the Absence of Evaluation of their HRM Practices.

Human Resource Management is, presently, considered by organisations and tertiary instititions to be playing a key role in staffing, training and assisting in managing human resources, in order for people and organisation to perform at their

optimum level and achieve its success (; Abdullah, *et al.,* 2009; Burma, 2014). They are the strength of any form of business success. Organisations and tertiary institutions mainly depend on the competences of their employees. As such, employees must be correctly and appropriately encouraged and motivated to perform and retained in order to assist these organisations and institutions to achieve their goals (Ongori, 2007; Rose & Kumar, 2006). It is the duty of Human Resource Management to ensure that tertiary institutions retain competent employees who contribute to their success, and that there are sound management practices and polices on personnel matters, which enables them to appropriately appoint skilled staff for the positions, as well as train and keep them motivated. If there are no sound practices and policies in an organisation or tertiary institution, this would result in poor recruitment practices and programs, and it would be impossible for HR to employ employees with the right skills fit for the organisation or tertiary institution to achieve its strategic goals. This in turn, would result in a costly high labour turnover (Ongori, 2007). As such, to ensure HRM's effectiveness, HRM function needs to be evaluated and demonstrate its added value to the organisation or institution (Bratton & Gold, 2007). Besides adding value, the evaluation of HRM provides senior management as well as HR personnel with feedback on the HRM practices and programs, and enables them to determine possible problems and deficiencies (Peiseniece & Volkova, 2010).

Although the evaluation brings along with it the above-mentioned contributions that lead to the organisaltional or institutional effectiveness, some studies reveal that the majority of the organisations do not evaluate their HRM functions. Becker *et al.* (2001) state that a study conducted at 960 companies revealed that less than 10 percent of these companies evaluated their HRM functions. Another study conducted by Ramlall (2003) indicated that, out of 54 companies that participated in the study, 51 of them conducted little or no evaluations at all. Based on these studies it may be concluded that the majority of organisations do not evaluate their HRM functions. As such, absence of HRM evaluation may prevent the organisation or tertiary institution from identifying possible problems and deficiencies as well as applying corrective measures where necessary.

3.3 The Implementation of Integrated Quality Management System (IQMS) at Schools Provides for HRM function Evaluation.

The Integrated Quality Management System (IQMS) was established in 2003 after the National Department of Education and the teachers' union signed an agreement to integrate the existing programmes on quality management in education. It is a system comprising of three programmes namely, Developmental Appraisal (DA), Performance Measurement (PM) and Whole School Evaluation (WSE) (Department of Education, n.d.). According to ERLC (2003:3) these programmes are intended at improving and monitoring performance of the education system in South Africa. The DA is aimed at evaluating individual educators in a transparent method with a view to determine areas of strengths and weaknesses, and to develop programmes for individual development. Its purpose is to identify and build on future aspirations as well as setting performance goals. The developmental appraisal is executed in a simplified manner, engaging self-appraisal of personal strengths and limitations (Millward (2005:134). The development part shows that appraisal is not simply an assessment of the past, but that it should also incorporate the future as well as on the improvement of individual performance (Erasmus & Schenk, 2008:369). According to Bohlander and Snell (2010:151) the evaluation is in relation to the requirements contained in the job description. It entails gathering and disseminating performance data to improve performance results. According to Hernandez (2010:226) if properly designed, implemented and maintained, the individual and organisation performance may be monitored and improved, and this would result in a more efficient and effective organisation.

Performance measurement is aimed at evaluating individual employees' performance for salary advancement, grade advancement, confirmation of appointments, as well as payments and incentives (ERLC, 2003:3). According to Neely (1998) cited by Bourne and Neely (2003:2) performance measurement is only applicable within a structure against which the efficiency and effectiveness of action can be judged. It only has an effect on the environment in which it functions. All the performance measurement activities which include starting to measure, determining what to measure, how to measure and what the targets are, have an impact on individuals and groups within the organisation. As such, performance measurement

evaluates the performance of the individual employee as well as groups within the organisation.

The Whole School Evaluation, is aimed at evaluating the overall effectiveness of a school, which entails the support provided by the District, school management, infrastructure and learning resources as well as the quality of teaching and learning (ERLC, 2003:3). These are applied in an integrated manner in order to ensure optimal effectiveness and co-ordination of the different programmes (Department of Education, n.d.).

Griffin and Moorhead (2008:154) maintain that the actual measurement of the performance of an individual or groups is core to performance management. Performance management entails the processes and activities involved in performance appraisal. These include setting of goals and communicating what is expected to employees, developing employees' skills and abilities, measuring their performance through an appraisal process, rewarding good performance and taking corrective measures to poor performance (Cummings & Worley, 2009:420; Naff *et al.,* 2014:269). As such, the developmental appraisal or performance measurements are a component of the human function (Cummings & Worley (2009:420). Bohlander and Snell (2010:151) also maintain that performance appraisal is the key human resource management intervention for providing performance feed back to individuals and groups within the organization. Based on the above, it could be concluded that the developmental appraisal or performance measurement comprised in the IQMS are a part of the HRM function and as such, IQMS provides for the HRM function evaluation.

4. BACKGROUND TO THE PROBLEM.

4.1 Traditional Role of Human Resource Management.

Human Resource Management has undergone changes towards the end of the last century as it moved from playing a purely administrative role to becoming a strategic partner (Bargerstock, 2000). According to Roos *et al*. (2004), the traditional role of human resource professionals was to execute a standard set of policies and

procedures. Human Resource Management International Digest (2004) also states that:

> Traditionally, HRM equalled administration and little else. The role of the unit centred around routine tasks such as record keeping and maintenance. Personnel administration, as it was formerly known, had little stake in the business objectives of an organisation.

Furthermore, Wofford (2003) also argues that HRM functions were never considered as essential components of the organisation but rather as administrative functions.

Since Human Resource Management was traditionally of less importance in organisations as compared to other functions like finance, marketing, etc., this meant that HRM professionals could not participate in any strategic decisions. They were mainly concerned with administrative issues, like recruitment and administration of salaries.

4.2 The new role of Human Resource Management.

In order for HRM to play an important role within the organisation, it needs to change both how it is structured and its objective. It is required to be a major aspect in the designing of competitive advantage, which results when facts are developed and used to create employee and organisational resources and competences that permit the organisation to deliver superior quality of products and service to customers (Burke & Cooper, 2005:9). The characteristics of the new role of HRM are two-fold. Firstly, HRM has an important role, a strategic organisational function, determined by top management, and secondly, low-level, decentralised operational roles for line managers, in which certain HRM activities are allocated to them.

Strategic Partner.

There is some considerable emphasis placed on HRM executives becoming strategic partners (Ramlall, 2003), as this would have them play an important role of accountability (Roos *et al.,* 2004). In other words, HRM executives are responsible for the success or failure of an organisation.

To achieve the status of strategic partner, the HRM function must be acutely aware of the strategic objectives of the business and as much must align human capital and practices to assist in the achievement of these objectives. According to Caldwell (2003), Human Resource Management, as a strategic partner, aligns human resource strategy with the organisational strategy and assists line managers in implementing the organisational strategy. This alignment will lead to increased participation of HRM in the long-term strategic goals of the organisation (Dolan, 2000). To be effective, an HRM strategy needs to be incorporated upwards within an organisation's strategy so that the two are aligned. At the same time, it needs to be incorporated across the HRM function so that all its practices fit to ensure the internal consistency (Fenwick & McMillan, 2010:131). Human Resource Management should also develop effective organisational processes and design the procedures in a manner that would enable the organisation to achieve its desired goals (Lemmergaard, 2009). Changing HRM to a strategic partner has also led to the personnel department being named the Human Resource Department (Liu *et al.*, 2007). However, the latest developments have led to HRM playing both a strategic role in which it links HRM strategies to organisational goals, as well as a functional role, which entails an administrative expert, employee advocate and a change agent.

Saiyadain *et al.* (2009:90,91) also espouse that HRM has attained a vital role in constructing a competitive organisation. It is therefore anticipated to play a strategic partner role in relation to linking HRM strategies to the organisational strategies while being an administrative expert in relation to planning and providing efficient and effective HRM systems, processes and practices. It also takes on the role of employee advocate in relation to managing the obligations and contributions of employees, as well as being a change agent in relation to assisting the organisation in meeting new competitive environments. According to Amos *et al.* (2008:9), if the HRM function is manned by people who are skilled both technically and strategically, it means that there is a pure determination that HRM should contribute to the execution of organisational strategy.

As a strategic partner responsible for the achievement of business objectives, the human resource function needs an on-going evaluation of the alignment between current HRM practices and the business objectives (Cabrera & Cabrera, 2003;

Verreault & Hyland, 2005).

5. STATEMENT OF THE PROBLEM.

5.1 The main problem

The main problem is that academic institutions often neglect to evaluate their HRM functions.

5.2 Sub-problems.

5.2.1 Recruitment and selection are not evaluated.
5.2.2 Performance management systems are not assessed.
5.2.3 Reward systems are not appraised.
5.2.4 Training and development is not evaluated.
5.2.5 Industrial relations is not evaluated.

6. MAIN QUESTION

The main question is: Do selected tertiary institutions in the Western Cape Province evaluate their human resource function?

6.1 Sub-questions

6.1.1 To what extent is the recruitment function evaluated?
6.1.1.1 Does a recruitment policy exist at this institution?
6.1.1.2 How do you ensure appropriate media used for recruitment?
6.1.1.3 Are legal requirements met?

6.1.2 To what extent is performance management evaluated?
6.1.2.1 Does the institution have proper performance management systems in place?
6.1 2.2 Does the institution have a performance management policy in place?
6.1.2.3 To what extent is performance management policy reviewed?

6.1.3 To what extent is the compensation function evaluated?

6.1.3.1 Does a compensation policy exist?

6.1.3.2 Is reward linked to performance?

6.1.3.3 How is salary increment determined?

6.1.3.4 How is salary determined, with regard to promotions?

6.1.4 To what extent is training and development function evaluated?

6.1.4.1 What systems do you have for training and development?

6.1.4.2 Are there any staff development programs?

6.1.4.3 Do you use different training programmes for different level of positions?

6.1.4.4 Do you have a training and development policy in place?

6.1.5 To what extent is selection function evaluated?

6.1.5.1 Are all legal requirements met?

6.1.5.2 Do selection staff members adhere to the selection policy?

6.1.5.3 What processes and procedures are in place to ensure that the selection function is in line with legal requirements?

6.1.5.4 Are all stakeholders consulted in the formulation and amendment of the selection policy?

6.1.6 To what extent is industrial relations evaluated?

6.1.6.1 Are there any proper industrial relations processes and procedures in place?

6.1.6.2 What do you do to ensure that employees are aware of the grievance procedures?

6.1.6.3 Are grievances handled in a fair and consistent manner**?**

7. OBJECTIVE OF THE STUDY.

The objective of the study is to find answers to the research question by means of the study.

8. THE MAIN AIM OF THE STUDY.

The main aim of this study is to develop a model for HRM function evaluation, specifically for tertiary institutions based upon the findings of the study.

9. SIGNIFICANCE OF THE STUDY.

Janssens and Steyaert (2009) state that there is a shortage of research in Human Resource Management practices of academic institutions. This study enabled the establishment of a framework for evaluating the outputs of the human resource function in academic institutions, which was a contribution to the existing body of knowledge. The framework may also serve as a tool for HRM professionals in academic institutions to effectively evaluate their HRM systems. It may enable HRM to effectively manage its functions as part of the institutional system and become a real strategic partner instead of a function that implements HRM practices in isolation. This instrument may not only benefit HRM professionals, but institutional management and all stakeholders in the tertiary institutions, by serving as a tool to implement change should there be a need to change their processes. It may enable HRM to enhance institutional excellence. It is very important that the developed framework should not be used in isolation, the evaluator should ask for supporting documents.

10. RESEARCH DESIGN.

Burns and Grove (2003: 195) define research design as: “a blue print for conducting a study with maximum control over factors that may interfere with the validity of the findings”. The research design then served as a plan that guided the researcher in accomplishing the intended results. Kumar (2005:84) describes research design as:

> …it (research design) has two main functions. The first relates to the identification and/or development of procedures and logistical arrangements required to undertake a study, and the second emphasises the importance of quality in these procedures to ensure their validity, objectivity and accuracy.

Thus, a research design has to provide detailed information on how the study was conducted, meaning the methods used to gather and analyse data.

10.1 The Research Approach.

There are two types of research approaches, namely, qualitative research and quantitative research. Quantitative research depends on the use of numerical measurement and statistical analyses, probability samples as well as standardised data collection instruments, whereas qualitative research does not depend on the use of numerical measurement and statistical analyses, and as a result, no probability sampling and standardised data collection instruments are needed (Silbey, 2003; Management College of Southern Africa, Study Manual, 2000). Richards (2006) stated that:

> …qualitative study differs from that of a study that starts with an understanding to be tested, where often the hypothesis literally dictates the form, quantity, and scope of required data. This sort of data pre-empts other ways of looking at the research.

Several authors maintain that qualitative researchers are less concerned with whether the participants understudy represent a broader population, they are mainly concerned with obtaining significant proof regarding a phenomenon, rather than being concerned about sample size, to ensure the representativeness of the sample to the population (Evans & King, 2006:120; Martella *et al.* 2013:305; Shuttleworth, 2008).

Qualitative research tends to work with relatively smaller samples, rather than large representative samples, hence, such samples cannot be generalized to the greater population (LeBlanc *et al.* 2004:221; Willig, 2013:25;). As such, there is no need for qualitative researchers to work with a large sample size, since qualitative research representativeness of the sample to a greater population, is not an issue, as qualitative research is exploratory in nature, and exploratory studies are rarely definitive in themselves due to the issue of representativeness (Rubin &. Babbie, 2016:61). Heppner *et al.* (2015:367) also maintain that qualitative data are generally collected from a limited and purposefully chosen group of participants or material relevant to the research question.

Martella *et al.* (2013:305) further maintain that the main aim for choosing the sample is to specifically address the research question. As such, to determine whether the sample is suitable, we must first determine the purpose of the research and whether the sample would allow the development of answers to the posed question. Other projects using this kind of technique involve detailed interviews with a smaller number of people. (Evans & King, 2006:121). This is due to the time-consuming and labour-intensive nature of qualitative data collection and analysis, hence, qualitative studies do not work with representative samples (Willig, 2013:25).

Increasing the sample size would not contribute to the new evidence (Ritchie & Lewis, 2003:85). Instead it may lead to saturation of data. As such, qualitative studies focus on the data collected and the richness of data, this is why they tend to have smaller samples (Schmidt & Brown, 2011:263). Daymon and Holloway (2010) also argue that smaller samples are valued for the deep rich data, since they permit the researcher to capture the respondents' precise responses and interpretations. Hall (2008:196) asserts that it is widely acknowledged in all main qualitative editions that rich textual data from a small sample produce more valuable information than superficial data from large samples.

It is essential to acknowledge the role of the researcher in the qualitative research process and specify it in the reporting of research (Hitchcock & Hughes, 2002:98). This is because qualitative researchers become immersed in the situations and phenomena studied. Their role varies from the more traditional neutral stance to an active participatory role, depending on the selected research approach (McMillan & Schumacher, 2006:317). Hitchcock & Hughes, 2002:98 further state that the features of a qualitative research with its emphasis on the researchers' involvement, means that the researchers are an essential part of a qualitative study. Since they conduct interviews themselves, review all kinds of documents, conduct observations, maintain field notes containing accounts of their activities, reactions and other thoughts, this makes them to become part of the qualitative research process (Solomon & Jacobs, 2003:148). As such qualitative researchers may choose to be passive observers or active participants in the research study (Martella *et al.* 2013:304).

The researcher employed a qualitative research design in this study, which enabled her to be intensively involved with the participants as she needed to understand them. She also became an active participant in this study.

10.2 The Organisations.

The organisations under study include two institutions. The first institution, namely, institution 'A', is comprised of six faculties, namely, Commerce, Engineering and Built Environment, Health Science, Humanities and Law and Science. This institution has five campuses with a staff complement of 4,500 employees consisting of a Vice-Chancellor, a number of Deputy Vice Chancellors, Registrars, Deans, Executive Directors, Academic Heads of Departments, Senior Lecturers, Lecturers, Managers, Administrative Officers and manual labourers. It offers programmes from undergraduate degrees to PhD degrees.

Institution 'B' is comprised of six campuses and six faculties. This institution has a staff complement of 1,723 employees, which is comprised of a Vice Chancellor, three deputy vice chancellors, academic staff including Deans, Professors, Directors, Faculty Research Coordinators, Senior Lecturers, Lecturers, and Administrative staff comprising of Directors, Faculty Managers, Coordinators, Administrative Officers and manual labourers. It also offers programmes from Diploma certificates to Doctoral degrees.

10.3 Sampling Techniques.

According to Devers and Frankel (2000), to make the design more real, the researcher needed to create a sampling outline that was able to respond to the research questions, establish precise locations and candidates, and ensured their involvement in the study. Holloway and Wheeler (2002:122) stated that: "Sampling units are selected for a specific purpose on which the researcher decides". According to Trochim (2006), the majority of sampling methods in qualitative research are purposive in nature. Daniel (2012:87) describes purposive sampling as:

> …a nonprobability sampling procedure in which elements are selected from the target population on the basis of their fit with the purpose of the

study and specific inclusion and exclusion criteria.

Since the nature of this study was qualitative and required a sample suitable for the purpose of the study, a purposive sampling technique was employed in this study thereby permiting the researcher to select elements from the target population based on their suitability to the aim of the study. Another reason for selecting this sampling technique was because, according to Palys (2008), the strength of this sampling technique depended on the choice of wealthy information for thorough analysis that is connected to the theme under study. The study involved the evaluation of the HRM function, as such, the selected participants from HRM departments as well as their key clientele, had direct involvement in HRM functions and was a suitable source to provide profound and rich qualitative data.

10.4 The Sample.

Mugo (nd.) defines a sample as: "…a set of respondents (people) selected from a larger population for the purpose of a survey".

The sample included employees involved in the HRM function, namely, the HRM Executive Directors from the two institutions, since they were directly in charge of the HRM functions; two Deputy Vice Chancellors from both institutions, and the reason for their involvement was to determine what they expected from the Human Resources department, and to determine whether they still regarded HRM as a support function which only dealt with administrative matters or whether they viewed HRM as part of the top management team responsible for the achievement of institutional objectives. Another category that was included in the sample involved the HRM managers, practitioners and officers directly involved in the HRM practices, for instance, recruitment and selection, compensation, training and development, performance management, industrial relations, etc. The final category included the key internal 'clients' of HRM services, as well as the researcher as an active participant in the research process. The total number of the participants was 20, made up of 9 people from institution A, 10 from institution B, as well as the researcher

Characteristics of a qualitative sample

The objectives of the study and the characteristics of the population under study, determined the people who participated in the study and the number thereof ("Qualitative research method…" nd.). There is a common concern that, if the sample size is small, the sampling outcome is likely to be incorrect ("Quantitative and qualitative…nd"). Ritchie and Lewis (2003) maintain that: "qualitative samples are usually small in size".

Due to the nature of the study, a purposive sample was employed, since the researcher needed to gather data from a few experts who regularly dealt with issues such as the recruitment and selection function, performance management, reward systems, training and development, and industrial relations. Deputy Vice Chancellors and HRM Directors/Managers served as individual members in the samples, while HRM staff formed part of a focus group for the purposes of the study.

10.5 Data Collection Method.

10.5.1 Triangulation.

Jupp (2006:180) describes triangulation as: "a research strategy that involves approaching a research question from two or more angles in order to converge and cross-validate findings from a number of sources". This approach can have a different role in the qualitative paradigm, where a research question is addressed from numerous standpoints. Essentially, the introduction of several perspectives carries with it the possibility of arriving at discrepancies resulting in deeper understanding of the problems (Bikner-Ahsbahs *et al.,* 2015: 408).

Triangulation is beneficial because it allows the expression of numerous perspectives on the problem and encourages the researcher to contemplate on various realities (Salkind, 2010:1539). According to Flick *et al.* (2004:179) it incorporates data drawn from various sources at different times, in different places or from different people. That is, data collected from many different sources, (for example, HRM staff members, clients, management, documents and observation). Bikner-Ahsbahs *et al.,* (2015:408) further argue that triangulation has benefits of

increasing confidence in research data, generating groundbreaking methods of comprehending a phenomenon, revealing exclusive results, challenging or incorporating theories and providing a clearer comprehension of the phemomenon of interest.

Various methods were used according to the principle of triangulation in this study, to collect data since it incorporated data drawn from various sources or from different people. In this regard, data was collected from HR personnel, clients, management, documents (policies) and observation, on the subject of interest.

10.5.2 Performance Assessment Questionnaire (HRM) (PAQ-HRM).

With regard to quantitative data, the researcher developed a performance assessment questionnaire (HRM) containing 83 statements on recruitment, selection, performance management, learning and development, compensation and benefits, as well as employee relations management. The participants were required to rate these statements with weighting points between 1-10 (below satisfactory= 1, 2; below average = 3, 4; satisfactory = 5, 6; very good = 7, 8; exceptional = 9, 10). The PAQ-HRM was given to the HRM staff members, as well as their key internal clients to complete, prior to the commencement of the interviews. Data from PAQ-HRM was presented in a table form. The rich triangulated quantitative data from PAQ-HRM reduced the inadequacies of single-source research, as well as bias and for the reason that individuals often shared more openly with an independent third party than they did with someone they knew (Yeasmin & Rahman, 2012).

10.5.3 Interviews

Corbetta (2003:270) describes semi-structured interviews as: “The order in which various topics are dealt with and the wording of the questions are left to the interviewers’ discretion”. In semi-structured interviews, each participant is asked a number of related questions. The interview’s foundation stems from a set of questions and themes that have been covered. The interviewer wraps up themes by asking one or more questions and employing a range of exploratory questions (Bernard & Ryan, 2010:29).

According to Wisker (2001:140), one may decide whether to take notes, record the interview using an audio-tape, rely on one's memory or write in answers during interviews. However, some people might not like to be recorded, and in such cases, the interviewer should seek permission prior to recording the interview (Opdenakker, 2006). The interviews are prepared based on an interview schedule, which is "a set of instructions involving questions intended to be asked during the interview". It also outlines how to make a follow-up as well as duties to be undertaken by the interviewer (Heid, nd.). A semi-structured interview was employed in this study, as this allowed the researcher an opportunity to ask probing questions in addition to the structured questions of the interview schedule, and these questions depended on the participants' responses. This enabled the researcher to get in-depth information on the theme in question. As indicated earlier focus group interviews were held with the members of the HRM deparment.

10.5.4 Country-wide Survey.

A country-wide survey was employed via telephone and emails in order to reach a geographically dispersed target population. HR Managers and Senior Managers in charge of the HRM function from various tertiary institutions country-wide, were asked to rate the HRM department and its functions using a *Likert* scale of 1-5, (5 – Strongly agree, 4 – Agree, 3 - Undecided, 2 – Disagree, 1- Strongly disagree). This survey was found to be convenient and time efficient. The reason for this survey was to assess the perception of tertiary institutions nationally, regarding the evaluation of their HRM functions and performance.

10.6 Data Analysis.

10.6.1 Methods of Analysing Qualitative and Quantitative Data.

The process of data analysis assumes various forms and depends on the nature of research questions, research design and the nature of the data collected (Bless & Higson-Smith, 2004:137). When analysing data, the investigators' focus centres around main subjects in the texts. They relate facts as they see them regarding how subjects are connected to one another, and how the distinctiveness of a speaker

reports on the existence of certain subjects and nonexistence of others (Bernard & Ryan, 2010:4). The audio recorded interviews were transcribed and the transcripts analysed according to qualitative techniques. The data was presented in a narrative form and was substantiated by extracts from the interview texts. The PAQ-HRM data was analysed per statement contained in the six HRM practices namely: recruitment; selection; performance management; learning & development; compensation & benefits; and employee relations managements.

The data analysis techniques that were used in this study included grounded theory and identification of themes. They are discussed as follows:

10.6.1.1 Grounded Theory Method.

This method was developed by Glaser and Strauss in the mid 1960s. They proposed a set of guidelines for data analysis from which they could build frameworks that would clarify the connection between theories (Glaser & Strauss, 1967). Grounded theory is described by Charmaz (2000:509), cited by Bailey & Jackson (2003:60), as "systematic inductive guidelines for collecting and analysing data to build middle-range theoretical frameworks that explain the collected data". The purpose of the grounded theory method is to create theory from data (Eaves, 2007). According to Charmay (2006:2), it ensures that the data is viewed in a new light, and examines ideas regarding the data during early analytic writing. Like all data, analysis and interpretation are necessary to ensure order and comprehension (Taylor-Powell & Renner, 2003).

Bailey and Jackson (2003) outline the strategies of grounded theory as undertaking the collection and analysis of data concurrently; a pre-arranged process of data coding; continuous relative rechniques for analysis; writing memos for and building a theoretical analysis; sampling to filter up-and-coming theoretical notion of the researcher, and combination of the theoretica structure.

Based on the above-named strategies, grounded theory was one of the approaches that were used to develop theory from data collected from participants.

10.6.1.2 Identification of themes.

According to Bernard and Ryan (2010:56), the identification of “themes in written material typically involve pawing through text and marking them up with different coloured pens”. This refers to going through the transcription, identifying and highlighting quotations that are important. Bernard and Ryan (2010) further stated that the significance of any theme rests on the number of times it emerges; how persistent it appears from one type of cultural idea to the next; peoples’ reaction when there is an infringement of the theme; and the extent to which the strength and diversity of its expression is resistricted by specific contexts.

According to Green *et al.* (2007), the creation of themes necessitates the examination of reasoning behind the data and the theoretical ideas in relation to the study. The researcher was able to identify themes by going through the text and highlighting the expressions that seemed to be of significance.

11. ETHICAL CONSIDERATIONS.

Researchers need to take into consideration a number of ethical factors when undertaking a research study. Marshall and Rossman (2010) stated that:

> …ethical research practice is grounded in the moral principles of respect for persons, beneficence … Respect for persons captures the notion that we do not use people who participate in our studies as a means to an end … and that we do respect their privacy, their anonymity, and their right to participate – or not – which is freely consented.

Thus, the researcher must ensure that participants are afforded the respect they deserve. In the instance where a person or an organisation wishes to remain anonymous, researchers should ensure that confidentiality is maintained. They must seek permission from participants, or the organisation under study, before the commencement of the research study.

According to Trochim (2006), ethical protection systems include a number of principles, namely: voluntary participation, which ensures that people are not

pressurised to participate in the research; informed consent, which requires that potential research participants should be well informed about the methods and dangers involved in research, as well as giving their permission to participate; risk of harm, which requires that researchers should not place participants in harmful circumstances as a result of their participation; confidentiality, which requires that participants' privacy should be protected, and that the identified information will not be accessible to anyone not involved in the study; and anonymity, this principle requires that participants should not be identified right through the study.

The researcher ensured that participants were not coerced to participate in this study, and that they did it voluntarily. She also ensured that informed consent was sought prior to the commencement of the study. The permission was obtained from both institutions' Higher Degrees and Ethics Committees in order to gain access to staff members. They were not placed in circumstances that would cause them any harm. Participants were also informed of the nature of the study and that their anonymity would be maintained. They were also assured of the confidentiality of their responses.

12. LIMITATIONS OF THE STUDY.

Limitations of the study were that the researcher was aware of the reality that she would make no presumptuous claims about the conclusiveness of her findings (Marshall and Rossman, 2010:76). Since this study involved an evaluation of HRM practices, this might have aroused an uneasy feeling amongst HRM managers and departmental staff, since it involved the evaluation of their function (Perry & Kulik, 2008; Soltani, 2003; Teo *et al*., 2003). There was a likelihood that they might have viewed evaluation negatively, as a means of exposing their defects, instead of viewing it as a way of controlling and quantifying the results and implementing a broader viewpoint that assisted in identifying future accomplishments in the area of human resource management (Olalla & Castillo, 2002). Warech and Tracey (2004) pointed out that many HRM professionals suffer from an "insecurity complex". Although some departments within the two institutions might have felt that this study was necessary. Due to the exploratory nature of the qualitative approach, the limitation is that the results of the study cannot be generalised to other institutions.

13. THE SIGNIFICANCE OF THE STUDY.

The findings of this study were beneficial to all stakeholders in both institutions, in that they provided insight on how HRM staff members could enhance the effectiveness of their performance and provide excellent service to the satisfaction of their clientele. It also indicated how the evaluation of human resource practices could ensure that value-added contributions were made to indicate where changes in this direction were necessary (Armstrong, 2003:77). This study demonstrated how HRM executives could evaluate their contribution toward organisational goals, and avoid risking the HRM function being outsourced (Belcourt (2001). The evaluation also showed how the HRM function contributes to the organisational goals (Warech & Tracey, 2004). The evaluation also provided a broad view of the institutions' strengths and prospective opportunities for their HRM functions.

14. THE PLANNING OF THE EMPIRICAL STUDY.

This study focused on the evaluation of HRM practices at tertiary Institutions in the Western Cape.

14.1 Research approach.

The qualitative research and a bit of quantitative approaches were employed in this study so as to obtain data from personal interviews and performance assessment questionnaires, in order to get richer and more extensive information. Hennink *et al.* (2011:8,9) describe qualitative research as an approach that permits one to study people's experiences in detail by employing particular set of research methods such as indepth interviews, focus group discussions, observations, content analysis, visual methods, and life history. The research approach is discussed at length in Chapter 4.

14.2 Participants in the study.

The participants in this study were a total number of 20 individuals comprising of HRM staff members, as they are directly involved in the HRM practices in their daily activities, the key HRM internal clients, since they were on the receiving end of service provided by HR department, as well as the Executive Management.

14.3 Phases of the study.

14.3.1 Phase 1: Preparation.

The researcher began by preparing an interview schedule, which contained a list of interview questions, prearranged in a specific order to guide the interview from the beginning to the end (Murchison, 2010). A Performance Assessment Questionnaire (HRM) on 6 HRM practices, which included, the recruitment, selection, performance management, learning and development, compensation and benefits, and employee relations management was also developed. These criteria are discussed at length in Chapter 4.

14.3.2 Phase 2: Data Collection.

The data collection instruments employed in this study were the interview schedule, PAQ-HRM as well as the country-wide survey. The HR staff members were asked to complete the PAQ-HRM before they were interviewed. To triangulate the qualitative data from personal interviews with HR staff members, interviews were also held with the HRM's key internal clients as well as Executive Management, Some of these key clients were also asked to complete the PAQ-HRM. Focus group discussions were held to gain a broader range of the respondents' experiences regarding HRM evaluation (DiCicco-Bloom & Crabtree (2006). A country-wide email-based survey was carried out with Human Resource Managers and Senior Managers in charge of the HRM function at various tertiary institutions within the country. This included three statements regarding the evaluation of HRM function using a Lirket scale of 1-5 (5 – Strongly agree, 4 – Agree, 3 - Undecided, 2 – Disagree, 1- Strongly disagree). These are also discussed in detail in Chapter 4.

14.3.3 Phase 3: Analysis and interpretation.

The raw data from different research sources (triangulation), namely, the interviews from HRM staff members, the Executive management, and the HRM key internal clients; data from PAQ-HRM, as well as data obtained from country-wide survey to tertiary institutions around the country were combined. After going through the

transcription, identifying and highlighting quotations of importance from which concepts like themes, occurences, patterns and tendencies were identified and developed. The explaination to why some incidents occurred was also provided. These are discussed in detail in chapter 4.

14.3.4 Phase 4: The application of the PAQ-HRM.

The PAQ-HRM that needed to be completed by the HRM Executive Directors, the HR staff members and their key internal clients was supplied. This PAQ-HRM elicited information on the evaluation of HRM practices using likert scales from 83 statements.

14.3.5 Phase 5: The development of an evalution mode.

An HRM evaluation model was developed based on the study's findings from the two institutions, with the assistance of South African Board of People Practices HR Standard elements model. The model consisted of nine standard elements grouped into four phases namely, preparation, planning, implementation, as well as continuous monitoring, evaluation and improvement. The reason for incorporating some of the SABPP HRM standard elements into this model was because they were based on national standards and they ensured that all HRM evaluations were conducted in a consistent manner based on the same criteria. They were also grouped into four phases of good quality management practice, which include the preparation, implementation, the continuous reviewing and improvement of the HRM function's effectiveness as well as maintaining Total Quality Management. The continuous evaluation also enables HRM professionals to demonstrate how the HRM function contributes to the attainmment of organisational goals.

15. SUMMARY.

This chapter introduced the concept of the evaluation of human resource management practices, which is a broad practice that involves different measures, approaches and methods in assessing the quality of the human resources function in an organisation (Swanepoel, et al. 2003:777). One of the reasons why HRM function evaluation was currently necessary in organisations was pointed out as the ever-rising global competition experienced by organisations (McLean, 2005). It was indicated that, although several HRM professionals had well formulated strategies, top management and senior line managers were doubtful of their part in the attainment of the organisational goals (Becker *et al.,* 2001). It was also indicated that Fortune Magazine called for the elimination of the HRM function (Belcourt, 2001).

The HRM function was discussed as comprising of a number of factors, namely, strategic planning, remuneration, recruitment and retention of employees, industrial relations, reward systems, organisational behaviour, employee benefits, performance management, organisational development and change, employee relations, training and development, communication and participation (Daniel, 2008; The Arnold Group, 2004; Wofford, 2003; Charalambous & Spiliotis, 2007). One of the significance of the study was indicated as its contribution to the body of knowledge.

The samples were drawn from two tertiary institutions in the Western Cape Province. As the nature of the study was qualitative, purposive sampling was carried out as a category of people to be interviewed had been pre-determined (Trochim, 2006). The data gathering methods, such as interviewing participants, were discussed with the participants. Ethical considerations and the limitations of the study were also discussed.

16. THE STRUCTURE OF THE STUDY.

TABLE 1.1 STRUCTURE OF THE THESIS.

CHAPTER	CONTENTS
1.	Introduction to the study. Background to the problem. Problem statement. Main question and sub-questions. Objectives of the study. The main aim of the study. Research design. Ethical considerations. Limitations of the study Significance of the study, and the Conclusion.
2.	Evaluation of human resource management practices. Introduction. The development of human resource management. The present roles of human resource management. Human resource management at tertiary institutions. Human resource management practices. The importance of evaluating human resource management practices. Different approaches to human resource management evaluation. Barriers to effective human resource management evaluation, and the conclusion.
3.	Human Resource Management policies and procedures (institution A and B). Introduction. Human Resource Management policies. Vital issues to be considered when developing a policy. The purpose of HRM policies. The benefits of HRM policies. The limitations of HRM policies. Reasons why HRM policies fail. Factors impacting on HRM policies and practices. HRM policies applied to selected HRM functions. Communication of Human Resource Management policies within organisations. People responsible for the formulation of hr policies. HRM policies at tertiary institutions. HRM procedures. Evaluation of Human Resource Management policies, and the Conclusion.
4.	Research design. Introduction. Design versus methods. Research design. Reliability and validity. Ethical considerations. Limitations of the study, and theConclusion.
5.	Presentation, analysis and interpretation of the collected data. Introduction. HRM evaluation questionnaire results of institution A. HRM evaluation questionnaire results of institution B. Interview results of the study. Summary of the questionnaire findings. The summary of the findings by comparing institution A with institution B. The country-wide survey results of the study, and the Conclusion.

TABLE 1.1 STRUCTURE OF THE THESIS CONT'D.

CHAPTER	CONTENTS
6.	Summary of results, recommendations and conclusion. Introduction. Main findings. Summary of the findings. Recommendations, and the conclusion.
7.	Application of the performance assessment questionnaire (PAQ-HRM) and the development of a model for the evaluation of Human Resource Management functions. Introduction. The HRM function weighting points for institution A and B. Sum mary of the results of the PAQ-HRM from institutions A and B. The model for Human Resource Management function evaluation for tertiary institutions. The original contribution of the study to the body of knowledge in the field of HRM. The significance of evaluation by means of triangulation. Recommendation by the researcher. Conclusion, and the References.

CHAPTER 2
LITERATURE REVIEW:
THE EVALUATION OF HUMAN RESOURCE MANAGEMENT PRACTICES.

1. INTRODUCTION

The rapidly changing environment, globalisation, coupled with aggressive competition, have had a tremendous impact on organisations. Organisations, thus vigorously endeavour to survive in this global competition (Kumar & Mishra, 2011). In order to achieve this, they need to regularly improve their performance (Chang, & Huang, 2005). The human resource management function is often caught up in the middle of these changes. Hence, it has changed its role from a personnel point of view, to a Human Resource Management perspective and a strategic point of reference (Beatty *et al*., 2003), thereby becoming a strategic partner in assisting the organisation in reaching its strategic goals, and maintaining its competitive advantage (Francis & Keegan, 2006; Ramlall, 2006). Human Resource Management has now to be capable of exhibiting its self-worth (Cabrera & Cabrera, 2003). HRM professionals need to evaluate their performance in order to validate HRM's contribution to these strategic goals (Becker & Huselid, 2003). The evaluation could also assist organisations to detect gaps in their performance, which would in turn enable them improve their performance and survive in this rapidly changing environment.

2. THE DEVELOPMENT OF HUMAN RESOURCE MANAGEMENT.

Armstrong (2009:4) defines human resource management as "a strategic integrated and coherent approach to the employment, development and well-being of the people working in an organisation". Human resource functions have developed from facilitating unimportant to important undertakings in all corporate governance. They are divided into two groups: the line function which is concerned with the management of the HRM department, and the staff function which refers to helping other managers perform their duties (Saiyadain, 2009:5). The HRM function was regarded as an administrative function, and according to Ramlall (2003) these functions were, as administrative function, an expense to the organisation and not as

an integral core of the business. According to Roos *et al.* (2004), this function was traditionally involved in systems and human resource related policies.

According to Marchington and Wilkinson (2005:127), HRM's early roots were in welfare, supported by social reforms that displayed a genuine paternalistic concern for their employees. The advent of the First World War hastened the transformation in the development of personnel management, in which women were recruited in huge numbers to occupy positions that were left by men who had to join to army (Durai, 2010:45). Durai (2010:45) further states that the role of the labour officer was mainly focused on recruitment, training, and health and safety of the employees.

3. THE PRESENT ROLES OF HUMAN RESOURCE MANAGEMENT.

3.1 Introduction

The human resources management primarily aims at drawing, inspiring, improving and maintaining employees whose performance is essential for the attainment of organisational strategic goals. Its role is essentially to maximize profitability through effective management of people (Saks *et al*., 2011:19; Cascio, 2003). Sims (2007:5) also maintains that the aim of HRM is to enhance the organisation's success as well as develop the potential of the workforce. As a result of global changes that reshape the business environment, Human Resource Management is allocated a strategic role in the organisation (Saylı, & Görmüş, 2009), which requires that it should generate a continuous competitive advantage, thus adding quantifiable value to the organisation by delivering bottom-line business outcomes and adding value for customers as well as shareholders (Amos *et al.,* 2008:9). Uyargil and Tüzüner (2003) cited by Sayli and Görmüş (2009:45) categorise Ulrich and Beatty's classification of HRM's new roles as: "Coaching, leadership, facilitating, constructiveness, and representing organisation's conscience".

3.2 The four roles of HRM.

Ulrich (2005) has identified the four roles of HRM as:

- Administrative expertise.

- Management of change.
- Employee advocate,
- Strategic partner.

These roles can be summed up briefly as follows:

3.2.1 Administrative Expert.

The HRM function can be visualised as tactically centred on administrative efficiency in performing HR business deals (Beatty *et al*., 2003). Ulrich (2005) also refers to this role as a functional expert in which HRM practices are designed and delivered. HRM professionals continuously improve organisational efficiency by transforming the HRM function and processes. This is achieved by ensuring that the conventional HRM duties like recruitment, selection and training are performed in a most efficient and effective manner (Ulrich & Brockbank, 2005b) and requires HRM professionals to be able to revamp HRM activities through the usage of technology, reconsidering as well as restructuring work processes and the constant enhancement of all organisational processes (Stone, 2011:10).

3.2.2 Change Agent.

Change agent centres around ensuring that the workforce embraces change or new culture (Beatty *et al.,* 2003). According to Ulrich and Brockbank, (2005b) as change agents, HRM professionals assist management by ensuring that the employees embrace the changed culture. This role focuses on the management of transformation and changes taking place within the organisation Lemmergaard, 2009). According to Stone (2011:11) HR must also be changed in order to deal innovatively and realistically with developing challenges.

3.2.3 Employee Advocacy.

The third role, employee advocacy, is centred around assisting employees, their growth within the organisation as well as retaining them (Beatty *et al.* 2003). According to Ulrich and Brockbank (2005b), HRM professionals represent

employees with regards to strategic issues . They achieve by being the employee's voice in top management discussions, by being reasonable and ethical, by re-assuring employees that their concerns are being addressed and assisting them to find new resources to enable them to perform their tasks successfully (Stone, 2011:10). According to Ulrich (2005), HR as an employee advocate ensures that the employer-employee relationships are of equal value.

3.2.4 Strategic Role.

Beatty *et al.* (2003) maintain that HRM makes it possible for the organisation to implement its strategy by aligning HRM practices with business strategy. Its processes are centred around strategic issues that ensure that an organisation is able to attain its objectives (Lemmergaard, 2009). In strategy formulation, HRM offers input on appropriate HR opportunities and threats from the external environment as well as inputs on the strengths and weaknesses relating to HRM ability and obligation to the organisation, which is generally a function of HRM practices (Amos et al., 2008:11). As strategic partner, HRM professionals assist the line managers in realising their goals by formulating and implementing strategies (Ulrich & Brockbank (2005b). This role permits the HRM manager to become part of top management, and as a result, the HRM manager must develop business expertise, a customer orientation, as well as an alertness of competition to be able to connect organisational strategy to HR policies and practices (Stone, 2011:9).

These four key roles of HRM enable the organisation to sustain a competitive advantage. Hence they are essential to the HRM function (Lemmergaard, 2009). But according to Ashton and Lambert (2005), although these four roles mentioned by Ulrich have been influential, putting them into practice has proved to be tall order when the roles of change agent and strategic partner have been found to be attractive, whereas the role of employee champion was not.

3.3 Human Resource Management's Contribution to the Organisation.

Human Resource Management has had a chance to demonstrate that it can contribute to the organisational success through the improvement of a more strategic

role, such as the provision of efficient services and the execution of organisational change (Burton *et al.*, 2006:86). This success is increasingly viewed as reliant on effective HRM that impacts subtantialy on organisational performance (Sims, 2007:5). According to Ramlall (2003), there is often limited proof to substantiate that HRM professionals' efforts contribute to the attainment of organisational goals. But as a strategic partner, HR contributes to the profitability of the organisation, produces outcomes, and contributes to efforts that make a difference (Ulrich & Beatty, 2001). Strategic partners are directly involved in important decision making as well as strategy formulation (Chang & Huang, 2005). HR is also usually involved in operational functions, namely recruitment and selection, rewards, training and development, as well as employee relations and strategic aspects of business (Bratton & Gold, 2003). Sims (2007:5). It further maintains that the significance of recruiting, selection, training, development, and rewarding as well as compensating employees, is currently acknowledged by managers in all organisations. These practices form the competences, attitudes and behaviours of the labour force of an organisation, and in turn, these practices impact on the performance of the organisation (Burton *et al.,* 2006:88). It can be concluded based on the statements of the aforementioned authors that HRM plays a vital role in any organisation.

4. HUMAN RESOURCES MANAGEMENT AT TERTIARY INSTITUTIONS.

4.1 Introduction

Tertiary institutions' core business is teaching and learning, research and community engagement; and they differ in this respect from all other organisations that produce goods to sell and make profits because they create and transmit knowledge without being profit-driven (Freitas *et al.*, 2011). According to Herbest (2009), tertiary institutions, unlike other industries are labour intensive institutions. Since they are human capital intensive organisations, HRM practices can assist them in employing and managing highly skilled and competent academics as well as retaining them by means of intensive recruitment and selection, training and development, performance management, as well as compensation and benefits (Iqbal *et al.*, 2011).

4.2 The Role of Human Resource Management at Tertiary Institutions.

Human Resource Management also plays a vital role at tertiary institutions, since according to Adeyeye (2009), they must be able attract, develop, motivate and maintain an enthusiastic labor force to support the accomplishment of their mission and vision with a view to achieve competitive advantage. Thus, they attract, employ and retain high performing academic staff with the necessary competencies to produce quality graduates. Adeyeye (2009) further states that Human Resource Management plays a critical role in the development of employee performance as well as in the improvement of university's effectiveness.

A study conducted by both Ayanda and Sani (2011) in Nigerian universities revealed that universities were currently incorporating Human Resource Management in their functions and strategies. As a result, these universities were highly involved in practices like recruitment and selection, training and development, performance management as well as job design for both academic and support staff.

Another study conducted by Edgar and Geare (2010) revealed that departmental heads and faculties agreed that it was advantageous to recruit the best available talent. It is evident that HRM is not only essential to organisations, but it also plays a critical role at tertiary institutions since they need to attract, employ and retain academic staff with competences that would enable them to attain their objectives.

But, according to Janssen and Steyaert (2009), there is limited research on HRM practices in academic institutions. Iqbal *et al.* (2011) also assert to the fact that there was not enough research conducted on HRM practices at higher learning institutions.

5. HUMAN RESOURCE MANAGEMENT PRACTICES.

5.1 Introduction

The attainment of organisational strategic goals is achieved through the provision of policies, guidelines and practices. These include human resource planning, job

analysis, job design, recruitment, selection, orientation, training and development, performance management, compensation and benefits, health and safety and employment equity (Saks, *et al.*, 2011:19; Dzansi & Dzansi, 2010; Lee-Ross & Pryce (2010:67). Armstrong (2009:4) also maintains that the human resource management practice covers undertakings like recruitment and selection, performance management, training and development, compensation management, employee relations etc. Another study revealed that supervision, job training and pay practices had a significant role in improving employee job satisfaction (Mudor & Tooksoon, 2011). Batt (2002) suggests that ongoing training, employment security, comparative compensation as well as performance management systems create employee reliance toward the organisation and also encourage employees to perform toward organisaltional goals. Wright *et al.* (2005) conclude that:

> HRM practices relate to specific practices, formal policies, and philosophies that are designed to attract, develop, motivate, and retain employees who ensure the effective functioning and survival of the organisation.

With the projected significance of a skilled and dedicated labor force, human resource management practices are now regarded as playing an essential role in acquiring, preserving and developing an organisation's skills base through well-resourced selection and recruitment processes, high levels of initial and continuous training and performance management practice (Holman *et al.,* 2003). This indicates that HRM practices play a significant role in ensuring that the organisation is equipped with competent employees whose output will ensure the sustainability of the organisation.

5.2 Impact of HRM practices on performance.

According to Lee and Lee (2007) practices like training and development, teamwork, compensation and incentives, HRM planning, performance appraisals, and employee security contribute toward organisational and employees' performance, as well as product quality. Zheng *et al.* (2006) found in their study that joint decision-making, performance linked pay, free market selection, performance appraisals as well as employee commitment were most critical for

performance improvement. Zaini *et al.* (2009) study also revealed that training and development, team work, HRM planning, and performance appraisals positively and considerably impacted on organisational performance.

Bowen and Ostroff (2004) indicated that HRM practices need to be driven by organisational goals and values. A study conducted by Stavrou and Brewster (2005) in 3702 European businesses, revealed that there was a positive link between strategic HRM practices and organisational performance. These practices are essential in improving organisational performance since sophisticated technologies and innovative manufacturing practices alone have little effect on performance (Ahmad & Schroeder, 2003). The HRM practices have an influence on employees' performance, and the employees, in turn, have an effect on organisational performance. This is achievable by employing the right people, compensating them appropriately for excellent performance with training and development, as well as making promotional opportunities available to such to ensure that all perform to the best of their ability. An appropriate performance management system should be in place to guide performance as well as grievance procedures to handle grievances in any organisation (Moideenkutty *et al.* 2011; van Dijk, 2005). HRM practices that are considered to be jointly contributing to the skills and knowledge base within the organization, and to the employees' enthusiasm to deploy their learning to the benefit of the organisation, comprise of sophisticated selection methods, appraisals, training, teamwork, communications, empowerment, performance related pay and employment security (Wall & Wood, 2005:430).

Some authors have argued that there is no proof that HRM practices have an effect on high performance (Wright *et al.,* 2005). Edgar and Geare, (2010) argue that: “The fact that HRM practices correlate with high performance does not necessarily mean the practices cause performance”. In the same vein, a study conducted by Paul and Anantharaman (2003) revealed that there was no direct impact of HRM practices on organisational performance, although various HRM practices could have an indirect influence on its success. That is, they positively impact on intervening process variables like employee and organisational competence, teamwork, employee commitment and customer orientation. Katou and Budhwar (2006) argue that HRM practices do not have a direct link to organisational performance, but they have an

influence on employee motivation, which in turn has an influence on organisational performance.

A study conducted by Edgar and Geare, (2010), on the other hand, revealed that the organisational culture and some of the HRM practices contributed towards the performance of high-performing university departments. Bowen and Ostroff, (2004) also stated that HRM practices are formed by organisational assumptions and values, which in turn, strengthen cultural norms and routines that shape the performance of both the employees and organisational performance.

5.3 Recruitment

5.3.1 Introduction

Recruitment is basically a process of talent management that can involve,among others, talent wars, talent raids(head hunting sprees), talent shortage, talent retention metrics and concerns for talent strategies that have gained momentum in the past few years; all aimed at ensuring that each organization stays at the head of the pack in its field of expertise.
Swanepoel et al. (2008: 257) define recruitment as: "… those HRM activities that are undertaken in order to solicit job applications from people who have the necessary potential, knowledge, skills and abilities to fill positions as employees who assist the organisation in achieving its objectives".

For organisations to be able to succeed in a rapidly changing global environment they need to attract and retain competent people, who will adapt well in this changing environment, and this depends on effective recruitment and selection (Bach, 2005). Recruitment and selection are the first step toward employee commitment to the organisation (Adeyeye, 2009). These recruitment programs are established by the HRM professionals within the organisations to recruit qualified employees. However, line managers are the ones who make the final decisions on appointments (Caruth *et al.,* 2009:1). A research study conducted at academic institutions revealed that faculties and departments that recruited employees with the 'best talent available' were the high-performing departments (Edgar & Geare, 2010).

5.3.2 Different approaches to recruitment.

Deb (2009: 185, 86) states that there are two main sources of recruitment, namely internal recruitment and external recruitment. Internal recruitment refers to the recruitment of current employees within the organisation to higher-level positions. The external recruitment refers to the recruitment of candidates who are not currently in the employment of the organisation (Swanepoel *et al.,* 2009:216;2008:263). Each recruitment source has its own advantages and disadvantages, which are discussed as follows by Grobler *et al*. (2006:170,171).

5.3.2.1 Internal recruitment methods.

i) Introduction

Organisations have a procedure for announcing vacancies through newsletters, electronic postings and other media outlets. They also depend on the managers for recommendations for progression (Schermerhorn (2011:294). According to Kleynhans *et al.* (2006:88,89) internal recruitment methods include job posting, job bidding and employee referrals. Internal recruitment methods include, existing employees, job postings and job biddings, referrals from current employees and former employees.

ii) Existing employees.

Durai (2010:138) states that existing employees are the most popular source of internal recruitment for organisations. The organisations keep inventories of employee qualifications from which suitable candidates can be chosen, which contain information on their performance, educational background as well as suitability. This source involves current employees applying for more attractive positions within the organisation. The HRM department can also assist by making use of computerised searches to identify employees who may possess the necessary knowledge and expertise for the positions in question. But the internal recruitment may also result in automatically generating another vacancy that has to be filled either internally or externally (Kleyhans, 2009:92,93; Gormez-Meij et al.,

2007:165). According to Cascio (2010:207), these employees should be given initial consideration, especially when recruiting for entry-level positions.

iii) Job postings and job biddings.

This is an internal recruitment process through which the current employees are able to apply for vacant positions prior to them being posted externally. Employees are supplied with a brief job description indicating the position's department, place, exemption status, salary grade and range, work schedule, requirements, key responsibilities as well as working conditions (Arthur, 2012:45). According to Kleynhans *et al.* (2006:88,89) it is a technique for informing employees about an existing vacancy. It aims at enhancing employees' motivation and helping them in developing career progression. Organisations also save time and money by employing someone who is already familiar with the organisation's structure and processes (Arthur, 2005:80).

Arthur (2012:46) further outlines guidelines for employees to qualify for job posting as:

- An employee must be working for the organisation for at least a year.
- He/she must have been in his/her present position for at least 6 months.
- The maximum number of positions the employee can apply for within a year is three.
- He/She must have obtained a satisfactory or better standard in his/her most recent performance evaluation.

iv) Referrals from current employees.

Employee referral is a practice whereby the current employees offer information regarding candidates who are keen to be considered for available vacant positions (Durai, 2010:139). Cascio (2010: 209) maintains that employee referrals have been and continue to be a key source of employment at all levels including professional levels. According to Mathis and Jackson (2010:201), the existing employees can familiarize prospective applicants with the benefits of a position with the organisation, provide emails and other means of introduction as well as motivate candidates to

apply. Nel *et al.* (2011:172) maintain that the referred employees remain with the organisation for a longer period and exhibit greater devotion and job satisfaction than other types of new appointments. However, the existing employees are inclined to refer people who are demographically similar to themselves, which can result in complications particularly if the organisation has an affirmative action recruitment policy.

v) Former employees.

Durai (2010:138) maintains that former employees are also regarded as an internal source of recruitment since they are familiar with the policies and practices of the organisation. These could be people who were once employed by the organisation and were either retrenched as a result of economic recession or are seasonal workers. They are already known to the employers and have had experience with them. Former employees are easily employed and become productive immediately they commence duties (Nel *et al.,* 2011:172). They offer a time saving benefit since they are known to the organisation (Mathis & Jackson, 2010:202).

5.3.2.2 Advantages of Internal Recruitment.

Some advantages of internal recruitment that are provided by different authors include (Compton *et al.* 2009: 47; Jackson *et al.* 2009: 201; Sharma, 2009: 143; Grobler, *et al*., 2006:170,171):

- Internal recruitment enhances employees' morale, especially when they are sure that the company rewards excellent performance and that they will be promoted to superior positions. This can be less costly and quicker than external recruitment since the company utilises its own data and sources of testing, and does not need to spend funds to obtain the data.
- Familiarity with preserved employee records, which could also be used by managers when recruiting within the company.
- Promotion means that two or more vacancies will usually be filled on one occasion when internal recruitment is employed.
- Necessity to appoint only at entry level is often quicker, less costly and enables the company to fill vacancies externally, as well as avoiding testing with

unfamiliar people at higher-level positions within the company. This provides the existing employees with an opportunity to initially prove themselves in lower level positions.

- Interviews with supervisors and assessments of employee performance records can be included in the applicant's file during the recruitment process.
- Filling a vacant position by means of transfer from one location to another. The employer is well aware of the employee's capability and work record, and this enables the newly transferred employee to speedily become productive on the new job with less training and induction.
- Presenting chances for personal growth without changing the employer as well as providing employees with personal growth, and also improves the employer's image to the outside world.
- Externally recruited employees are likely to receive higher salaries, especially when there is a skills shortage, whereas this is not the case with internally recruited staff.
- It is easier to evaluate the capability of internal applicants.
- Essential only to employ at lower level.
- Formulation of succession plan for promotion
- Prevents leak plugging strategy.
- It enables the organisation to preserve its investment in the employees.
- It recompenses the employees for the previous performance.
- It limits the opportunity for enhancing variety within the organisation.

5.3.2.3 Disadvantages of Internal Recruitment.

Some disadvantages of internal recruitment are mentioned by various authors and include (Compton *et al*., 2009:47; Jackson *et al.,* 2009:201; Grobler, *et al.*,2006:171):

- Inbreeding can result in no new ideas being developed, morale can become a problem for those not promoted, thus a strong management development programme is needed.
- High costs of relocating an employee from one city to the other can be incurred.
- In case of married employees, disturbance of the spouses career can occur, hence the need for helping them in seeking employment.
- If internal recruitment is utilised, the most suitable external candidates may be

overlooked since they are not employed by the organisation.

- Internal recruitment results in resentment from those who did not get the position.
- Internally recruited employees seldom come up with new ideas for progress since they are used to the organisation's culture.
- It is costly to employ a candidate without the appropriate skills who needs training to qualify for the position.
- Necessity of an effective performance management system.
- Disapproval from those outside the organization.
- Sustained status quo.

5.3.2.4 External recruitment methods.

i) Introduction

There are numerous external recruitment methods that could be employed by HR managers. According to Kleynhans *et al.* (2009:93) some of these external recruitment methods entail advertisements, employment agencies, tertiary campus recruitment, government agencies, flyers, direct mail and electronic recruitment. These are discussed in detail below:

ii) Advertisements

According to Cascio (2010:214), organisations approach employment candidates in a much similar manner to the way they approach potential customers, by cautiously identifying and targeting candidates and attracting them to the organisation and its trademark through advertising. Kleynhans *et al*. (2009:93) maintains that advertising is the most common external recruitment method. Durai (2010:139) also states that advertisements are a largely the favored method of external recruitment since they reach many people in a short space of time, and are cost-effective when there are many vacancies in the organisation. According to Nel *et al*. (2011:172), potential employees could be employed for local, regional, national as well as international searchers, especially for specialized and difficult positions to fill. Employers must ensure that the advertisements are non-discriminatory and they reach the intended

audiences. They must also enhance the image of the organisation and ensure demographic representation within the chosen media.

iii) Employment agencies.

Wells (2003) maintains that employment agencies are some of the most broadly employed external sources. These agencies are employed when the organisation is too small to have its own human resource department that can execute recruitment processes, or when they know that the vacant position will attract more applicants, which will lead to a time-consuming selection process. Employment agencies also headhunt skilled candidates who are presently employed and not looking for a new employment. They also assist with the recruitment of temporary workers (Nel et al. 2011:172). According to Price and Novak (2007:151), many of the headhunters and executive search firms provide the recruiting companies with qualified applicants and they do it based on the requirements of the job description. These usually focus on management level positions. Sharma (2009:151) states that employment agencies usually have more experience and contacts and also prepare candidates for interviews as well as assist in negotiating for the salaries of their clients.

iv) Tertiary campus recruiting.

With tertiary campus recruiting, organisations target certain universities or colleges that best meet their requirements and have widened the range of their interaction with them (Porter & Lavelle, 2007). Tertiary campus recruiting is meant for completing tertiary institution students, and the pre-screening programmes in universities, universities of technologies and colleges are intended for final year top students and are aimed at introducing them to the organisation as own timber that they have planted. Normally, these students are placed on the organisation's graduate programme, which enables the organisation to fill vacant positions and shape the new recruit into an organisation's employee (Nel *et al.,* 2011:172). This source of recruitment is best suited for entry-level managerial and professional positions like those of management trainees and technical employees (Durai, 2010:141,142). This source is very costly, and results in small and medium sized enterprises finding it difficult to compete for ability with major organisations (Arthur,

2005:86,87). But since there is a high competition for top graduates to fill skilled positions, the recruitment may be worth the effort if a highly competent applicant is employed (Lunenburg & Ornistein, 2011:455).

v) Government agencies.

Kleyhans *et al.* (2009:174) maintain that the Department of Labour frequently has a list of organisations with openings in particular categories. These agencies assist organisations by finding them people for placement or connecting them to people who seek employment. They are a treasured source for entry-level positions and employers incur no expenses for this type of recruitment source (Arthur, 2012:44). According to Arthur (2005:84), government agencies can refer a number of candidates since they are able to access a huge group of applicants, who are generally unemployed. Applicants have a tendency to perceive them as having less highly competent positions and employers also perceive them to have less high value applicants. However, this may not be a true reflection of their ability (Lunenburg & Ornistein, 2011:455).

vi) Flyers and direct mail.

Direct mail recruitment is intended to attract the attention of professionals. Attractive advertisements can be included as loose-leaf flyers that are placed inside professional journals such as *People Dynamics*, published by the Institute of People Management in South Africa. Alternative advertising materials can also be handed out at conferences and trade fairs (Nel *et al.,* 2011: 174). Some organisations send out direct mail to persons in specific fields, using a list obtained from professional associations, business directories, trade groups and magazine subscriptions, regarding the vacant position (Mathis & Jackson, 2010:193,194; Arthur, 2005:88).

vii) Electronic Recruitment.

Electronic recruitment has become an important form of recruitment since it costs less per appointment and also provides an opportunity to give in depth information regarding the organisation to job seekers as compared to other sources of external

recruitment (Compton *et al.* 2009:56). It involves all the activities and methods employed by the organisation to develop a pool of possible candidates. Electronic recruitment grows remarkably quickly and is accessed by more of the population. The organisations and employment agencies display their openings, and job hunters can upload their CVs on the internet (Nel *et al.,* 2011:174). According to Durai (2010:138), with the use of computers, organisations are able to scan and process the applicants CVs automatically. Electronic recruitment saves time, since applicants are able to provide speedier electronic responses, than with other sources, and recruiters can also provide prompt response in order to get the necessary additional information from the qualified candidates (Mathis & Jackson, 2010:192).

5.3.2.5 Advantages of External Recruitment.

The advantages of external recruitment by various authors can be summed up in the parameters set by these authors (Compton *et al.,* 2009:47; Jackson *et al*., 2009:201, 202; Grobler, *et al*., 2006:171; Aswathappa, 2005:146), who hold that:

- The pool of applicants is larger and external incumbents bring fresh ideas, work techniques and acquaintances to the company. This minimizes internal bickering and fosters a situation in which employees are promoted beyond their capability, which enhances employee productivity.
- A larger number of applicants are recruited compared to internal recruitment.
- External recruitment for mid- and higher level position reduces internal clashes with employees who are expecting to be promoted and also reduces harmful contest among employees.
- Provides huge numbers of appropriately qualified experts that can enable the organisation to meet its workforce requirement as well as maintain its continuous development.
- It may be less costly in speedily employing employees with already require skills.
- No preferential treatment from current employees resulting in bitterness.
- Brings in new facts regarding problems.
- Compels existing employees to compete and stay updated in their skills and education.
- Quick method of changing an obsolete culture.

- May facilitate amendments to the way of doing things.
- Most vibrant employees.
- Management will be able to meet the quotas as required by labour regulation, especially from previously underprivileged groups of communities.

5.3.2.6 Disadvantages of External Recruitment.

Most processes have inherent disdavantages, some that can be overcome and some that cannot be and external recruitment processes have over the years manifested some that have been summed up as follows: (Compton *et al.,* 2009:48; Grobler *et al.,* 2006:171; Aswathappa, 2005:146):

- Eradicating employee motivation to work hard for promotion.
- New incumbents may not fit in culturally.
- Self-esteem of those overlooked may be negatively affected.
- Necessitating more education and progress.
- Requiring a longer time for induction.
- High costs of relocating new incumbents.
- Might take longer in fulfilling urgent needs.
- Might result in the bitterness of current employees.
- Existing employees become demotivated and demoralised as a result of lack of promotion, which could in result in them leaving the organisation resulting in a high turnover rate.
- The organisation might make an error in employing the wrong applicant and rejecting the right candidate if recruitment and selection processes are not appropriately enforced.

5.3.3 Recruitment Processes.

Compton *et al.* (2009:17) maintain that the recruitment process often begins with the official requisite for an additional employee or an existing vacancy that needs to be filled. They also assert that the process ends with the finding and placement of a suitable candidate. According to Kleynhans *et al.,* (2006:81) the first phase in the recruitment process is strategic planning, in which the organisational goals are decided upon, followed by human resource planning, in which the number of

employees needed for the organisation to meet its organisational objectives, is determined.

For example, once the organisation realises that it has a shortage of employees, it could decide on recruiting new employees. Bowman *et al.* (2013:103) state that the three levels of the recruitment process include the planning and approval of the vacant post, preparation for advertising the position and selection as well as implementation of specific strategies. According to Durai (2010:135), there are several essential steps involved in the recruitment process, and these are listed below.

Steps involved in the recruitment process.

Swanepoel *et al.* (2008: 270) suggest 11 steps entailed in the recruitment process as follows:

i) Step 1: Determine the exact need.

Recruitment frequently arises from workplace planning processes. This often happens in an unplanned manner as the vacant positions occur. This process is often initiated by line managers and it is very crucial that they should be involved in the recruitment process since they are the ones who require employees as part of their responsibilities (Swanepoel et al., 2008:270). Durai (2010:135) also maintains that the first step is to outline the human resource plans in line with the organisational goal, and entails a prediction of the number and quality of human resources necessary to achieve organisational strategic goals. It is intended to ensure that employees' needs, as regards the organisation, will be frequently and properly met (Shukla, 2009:281).

ii) Step 2: Consult the recruitment policy and procedures.

Prior to organisations recruiting, there must be existing policies and procedures in place to guide them during recruitment process. These policies and procedures should take into consideration both internal and external factors that impact on the recruitment process (Kleynhans, 2006:81). The recruitment policy must be consulted

to ensure uniformity as well as the effectiveness and efficiency of the recruitment process. This document also provides guidance regarding those who can participate in the process as well as sources and recruitment techniques that may be appropriate for particular situations (Swanepoel *et al.,* 2008:270).

iii) Step 3: Obtain approval to recruit.

Recruitment could be a very expensive function hence the recruitment budget must be constantly evaluated. It also needs to be approved by a proper manager with the relevant authority. This may include filling out a staff requisition form that needs to be signed by the management - staff that are entrusted with this task. This will ensure that the recruitment is aligned with wider organisational and labour force plans. It also generates the possibility to rethink the recruitment approach in general, and options to recruitment (Swanepoel *et al.,* 2008:270).

iv) Step 4: Make sure the job description and person specification are current.

According to Shukla (2009:281), this step involves the designing of a job description. Deb (2009:191) maintains that the job description identifies the tasks and duties of various jobs, which assists in creating work profiles for each position, whereas job specifications state the features, ability, knowledge, skills and attitude of the job-holder. Both these documents form a foundation for all the recruitment activities and it is, therefore, crucial that they are constantly updated, and precisely state what is entailed and required by the job. The job description and job specification should reveal the key performance areas of the job and these must be clearly stated in the advertisement in order to enable prospective applicants to see whether they fit in the selection criteria or not (Swanepoel *et al.,* 2008:271). The job specification reports also formulate the recruitment strategy that stipulates the quality and quantity of human resources required for the organisation (Durai, 2010:136).

v) Step 5: Choose the recruitment source(s).

This step involves the two significant sources of recruitment for every organisation, known as internal and external sources. The internal sources consist of the current

employees with adequate qualifications, experience and competency who can be promoted, transferred or relocated to occupy vacant positions within the organisation; previous employees and employee referrals. Temporary employees or contract workers can also serve as a source for recruitment especially when they meet the job requirements.

External recruitment consists of employment exchanges, employment associations, professional associations, public advertisements and educational institutions. Their evaluation entails considering their strengths and weaknesses (Durai, 2010:136; Deb, 2009:186). The most suitable recruitment source is decided upon once the type of people for the job, have been determined. Past information on the success rate of certain sources could be employed in this regard. The recruiter will select one or more sources once it has been decided whether they recruit internally or externally (Swanepoel *et al*., 2008:272).

Deb (2009:186) further maintains that the most frequently utilised sources of external recruitment are:

- Advertising that assists in reaching a greater category of appropriate candidates for the vacant positions.
- The Internet that can assists in drawing applications from potential employees in an inexpensive and swift manner.
- Campus recruitment that can fill up positions at an entry level.
- Job fairs, which enable educational institutions to be under one roof in a job site arranged to bring together all potential recruiting organisations.
- Placement consultants, that have large databases of prospective candidates for a variety of functional areas.
- Head hunting, is an excellent method of recruiting senior level management staff, and the incumbents are discovered locally, regionally, nationally or globally from competitor organisations.
- Public employment exchange, in which organisations notify their vacant positions to a close employment exchange for recruitment, and this source, is suitable for unskilled, semi-skilled and clerical positions.
- Gate applications, where job-seekers call at the organisations gates to present their applications.
- Similar organisations, rival organisations entice candidates from their

competitors particularly for scarce skills and higher positions by offering them senior position and rewards.

- Trade unions that can suggest candidates to occupy vacant positions in organisations. and
- Labour contractors, in which labour contractors provide candidates who meet the job requirement in a short space of time.

vi) Step 6: Decide on method/s of recruitment.

The decision as to which methods to adopt could be based on past recruitment methods that proved to be successful. Alternatively, an experiment could be conducted with different methods to establish the effectiveness and efficiency in the recruitment operations. Once the most suitable recruitment method/s has/have been chosen, it should be well documented with supporting specifics and data. The recruiters should guard against utilising one specific recruitment method to the exclusion of others (Swanepoel *et al.,* 2008:272). According to Durai (2010:137), one should decide whether to appoint from internal or external sources. Kleynhans (2006:81) also argues that the organisation can either utilise internal sources by drawing persons from within the organisation, or they may choose to attract appropriate persons externally.

vii) Step 7: Apply the recruitment method.

Recruiters should ensure that they screen the planned advertisement to avoid embarrassment to the organisation as well as to potential employees. When the recruitment function is outsourced, the recruiters must ensure that they communicate well in advance as to the obvious constraints of what is expected. The advertisements should present a comprehensive hint of the responsibilities to be executed and the necessary qualifications for the job. The advertisements should also state the place, salary, allowances, application procedures, closing dates, telephone numbers, as well as contact fax numbers. Any discrimination should be avoided except in cases where there are issues inherent to the job requirements as well as with affirmative action appointments (Swanepoel *et al.,* 2008:272). Durai (2010:137) also maintains that the recruitment method and strategy must be

employed in harmony with the appropriate labour regulations irrespective of whether the organisation chooses to recruit from internal or external sources.

viii) Step 8: Allow sufficient time for response (and consider clarifying uncertainties).

The time permitted for a response will be dictated by the recruitment method employed. Clear closing dates must be set, although there should be flexibility to ensure the highest number of responses (Swanepoel *et al.,* 2008:272). The response rate tendencies may serve as a pointer of the problems in the organisation (Compton et al. 2009:203).

ix) Step 9: Screen responses.

The screening takes place by going through the completed applications and the accompanying CVs. Applicants' details are compared with what is stated in the job description and specification and those who do not meet the requirements are separated from those who do (Swanepoel *et al*., 2008:273).

x) Step 10: Draw up an initial shortlist of candidates.

The selection process commences at this phase by the drawing up of a shortlist of potential appropriate applicants. Telephonic screening may also be helpful to acquire significant information to further assist and differentiate between suitable and obviously unsuitable applicants. This can be done by HR support staff members. The shortlisting of possible appropriate applicants should be discussed with the relevant line managers prior to the complete selection process (Swanepoel *et al.,* 2008:273).

xi) Step 11: Keep applicants informed.

Applicants need to be informed as soon as possible about the results of their applications, especially when they are screened out early on in the process. It must be ensured that the image of the organisation stays spotless. One should consider the cost implications, as it is usually the case that quite a large number of people

may apply, the majority of who do not qualify for the job in question. Usually, advertisements state that only the successful candidates will be contacted and invited for interviews. It could be stated that should one not receive any further correspondence from the organisation within a stipulated time of the deadline for the recruitment campaign, one should accept that his/her application was not successful and that the organisation appreciates their interest in the organisation (Swanepoel *et al.,* 2008:273).

5.3.4 Factors that influence recruitment and recruitment policy.

A clear recruitment policy serves as a guide for bringing the new incumbent into the organisation. It also ensures that the process is direct and saves time. It explains what management and employees expect of each other (Sharma, 2009:140). There are different aspects that might have an effect on the recruitment policy, and these are categorized into two groups, namely internal factors and external factors. Swanepoel *et al*., (2011: 208-212) discuss these as follows:

5.3.4.1 External Factors.

These factors are external to the organisation and they include labour market conditions, government policy and regulation as well as trade unions (Swanepeol *et al.,* 2011:208). These external factors are discussed below.

i) Labour market conditions.

Labour market conditions have a tremendous effect on recruitment practices. When the conditions are favourable and there are more qualified candidates who meet the requirements, recruitment efforts will be less. The tighter the labour market is, the more creative and costly the recruitment will be (Swanepoel *et al.,* 2011:208; Kleyhans, 2006:84). Ivancevich (2007: 188) also states that when there are more people looking for employment during recruitment, informal efforts will perhaps draw more applicants. However**,** if there is complete employment in the area in which the organisation is operating, it is essential to employ skillful and lengthened recruiting in order to draw applicants who meet the organisational expectations. The number of

available applicants also depends on the growth of the economy. There is often a saturation of qualified people in situations where organisations do not create jobs. Nel *et al.* (2011:170) also states that labour market conditions impact the availability of workforce in the sense that, if there is an oversupply of skills, there will be more applicants available, but if there is a scarcity of skills, there will be fewer applicants available.

In order to implement the recruitment function effectively, HRM professionals must ensure that they are aware of current trends in the labour market in order to adapt their recruitment functions accordingly. They must also ensure that their recruitment practices comply with labour regulations. HRM professionals should also implement recruitment practices that are acceptable to all stakeholders in the organisation (Swanepoel *et al.,* 2011:208-212).

ii) Government and union restrictions

Government policies and regulations provide a legal framework within which recruitment should be implemented. For example, the Employment Equity Act 55 of 1998 prevents discriminatory recruitment practices based on race, gender, marital status etc., and many more like the Labour Relations Act 66 of 1995 and the Constitution of 1996 and other should inform the manner in which an organisation recruits new employees.

Trade unions also require to be involved in the recruitment processes and decision-making as well as the recognition of their approval. The representatives of the unions also take part in the development of the recruitment policy (Nel *et al.,* 2011:170; Swanepoel *et al.,* 2011:208-212). Catano *et al.* (2010:106) identify five main legal sources that influence the recruitment practice as:

- Constitutional law.
- Human rights legislation.
- Employment Equity Act and employment equity policies.
- Labour Relations Act.
- Employment standards and related legislation.

Catano *et al.* (2010:106) assert that the impact of these laws and policies control organisations' recruitment practices from discriminating on the basis of particular traits.

According to Ivancevich (2007:188), government legislation that rules out discrimination in employment directly impacts on recruiting practices. The government agencies assess the following, concerning recruitment, to establish whether an organisation has violated the legislation:

- A list of recruitment sources for each job category.
- Recruiting advertising.
- Estimation of the organisation's employment needs for the following year.
- Information on the number of applicants processed by demographic category and by job classification or level.
- Checklists to indicate what proof was employed to confirm the legal right to work.
- Image of the company.

Nel *et al*. (2011:170) assert that the manner in which jobseekers perceive an organisation influences the quality of possible employees. Presently, jobseekers can easily get information about an organisation via the Internet. This is why organisations with a positive image that apply impartiality, fairness and supportive work environments draw high quality employees from a labour market (Kleynhans *et al.,* 2009).

5.3.4.2 Internal factors.

i) Introduction.

There are different internal factors that influence employee recruitment in organisations. The internal factors that impact on recruitment entail strategic plans, institutional policy, and recruitment criteria (Swanepoel *et al.,* 2011:22; Kleynhans, 2006:84). The organisation's strategic plans form the foundation of its short-term plans on which its recruitment activities are based, for example, human resource planning. It is crucial that HRM departments employ the organisation's strategic plans, as these plans will guarantee a strategic recruitment. The organisation's recruitment policy must be made clear on matters that could impact recruitment procedures. With regard to recruitment criteria, it should be drawn-up to avoid any discrimination practices. The criteria that need to be replicated in the recruitment plans entail the following (Swanepoel *et al*., 2011:212-23; Kleynhans, 2006:84):

- Accessibility: Recruitment should be realistically and economically accessible to a wide pool of available potential applicants.
- Positive image: The image of the organisation should be upheld in order to develop the interest of applicants in the organisation.
- Equity: Recruitment strategies should be sustained by the primary principle of employment equity.
- Efficiency: Recruitment exercises should ensure the achievement and safeguarding of employees with appropriate knowledge, skills, and competencies.

Taking into consideration the internal factors that impact recruitment and ensuring that the recruitment function is effectively implemented; the recruitment policy should be formulated in line with the human resource strategy. All organisations' stakeholders should be included in the development of this policy. HRM professionals must ensure that they use accurate job descriptions and specifications to set realistic requirements to facilitate effective recruitment (Swanepoel *et al*., 2011:212-23).

ii) Organisational policy.

The organisation's recruitment policy has an effect on the recruitment process since it stipulates the manner in which the organisation policy impacts on the recruitment process. It also specifies the restrictions of the recruitment effort (Nel *et al.,* 2011:170). Catano *et al.* (2010:106) argue that the employment equity expects proactive recruitment policies to escalate the number of disadvantaged groups in the workplace by eradicating obstacles to employing them, which is, discriminating against them on the basis of particular traits. According to Khurana *et al. (2*009/10:67) the aim of this policy is to provide consistency in the recruitment process and, since it is a component of the human resource policy, the recruitment process should conform to it. Issues that should be covered in this policy would include, for example, spouses, the handicapped, relatives of current employees, and many more.

iii) National culture and organisational culture.

The national culture has an impact on several traits of recruitment and selection processes (Brewester & Mayrhofer, 2012:130). The organisational culture impacts on the recruitment process and how it is executed (Caruth, *et al.,* 2009:17). According to Nel *et al.* (2011:170), it describes the uniformity of frame of mind and presents a focus of recognition through the core values and beliefs contained in the recruitment policy. In order to draw and preserve good employees, an organisation may need to assess its current culture. One way of connecting employees is to generate a learning organisation where personal growth is exceptionally viewed and acknowledged (Compton *et al*., 2009:209).

iv) Organisational image.

According to Kleynhans (2006:84), organisations that portray a good image in the labour market, do so as a result of treating their employees fairly and equally as well as providing them with support. They are always able to draw new employees with such an image. It is significant to examine how the public perceives the organisation prior to the commencement of the recruitment process. The organisation's efforts will produce few results if there are questions about its transparency, how it treats its employees, or a host other circumstances (Sahu, 2010:15). Rao (2005) also maintains that if the image of the organisation is perceived to be poor, the likelihood of attracting more competent applicants is minimised. No one wants to be associated an organisation whose image is below par.

5.3.5 Best practices in recruitment.

Since recruitment is a constant process, it is vital to assess it continuously in order to improve its effectiveness. If the process deters potentially competent individuals from applying, confines the magnitude of the pool of applicants, or causes inferior applicants to be the organisation's employees, then the employers must ensure the necessary change (Durai, 2010:137).

Mathis and Jackson (2004:169) assert that effective recruitment requires the HR

manager to undertake the following actions:

- Determine and categorise the organisation's long range and short range HRM needs.
- Keep alert to changing conditions in the labour market.
- Develop appropriate recruitment advertisements and literature.
- Select best recruitment methods to be utilised.
- Record the number and quality of applicants from each recruiting source.
- Follow up on applicants to evaluate the effectiveness of the recruitment effort.

Sims (2006:115) asserts that HRM professionals should cautiously reflect on each of the following ideas, establish which ones might assist them in their recruitment efforts and apply them as necessary:

5.3.5.1 Practice Affirmative Action.

Heneman and Judge (2003) present exceptional proposals for adopting affirmative action with respect to recruitment:

- Ensure that job descriptions are updated and accurate.
- Extensively circulate the approved job descriptions to recruiting managers and recruitment sources.
- Cautiously choose and train all employees involved in recruitment.
- Get in touch with organisations that are prepared to refer women and minority applicants.
- Carry out formal updates for representatives from recruiting sources.
- Persuade women and minority employees to refer job applicants.
- Involve women and minorities on the HRM department employees.
- Be vigorously involved in job fairs.
- Actively recruit at secondary schools, colleges and universities with mainly minority and women enrolment.
- Employ exceptional employment programs, such as internships, work/study and summer jobs.
- Involve minorities and women in recruitment flyers.
- Increase help-wanted advertising to involve women and minorities in news media.

5.3.5.2 Create a real-life job description.

Heneman and Judge (2003) argue that presenting applicants with practical expectations about their future job can assist them in better managing job demands once they are employed.

5.3.5.3 Manage organisational image.

Gomer-Mejia *et al.* (2004) suggest that an organisation should evaluate their recruitment processes using the following important questions about customer service:

- Did you treat applicants as your customers?
- Are interviews programmed around the applicant's preferences?
- Would applicants describe their visit as optimistic and enjoyable or as a chain of rings to jump through?
- Do you welcome each applicant?
- Are applicants treated as guests or as widgets to be processed?
- Are assessments, such as testing or interviews, explained so that applicants comprehend the aim and the reason the evaluation is necessary?
- Are there interview costs that are not paid for because you want to minimise expenses?

5.3.5.4 Understand the relative advantages of conventional methods.

According to Sims (2006:118), there are numerous methods for recruiting qualified potential applicants, namely adverts in local newspapers, publications and magazines, direct mail, employment agencies, executive search firms, computerized databases, university recruiting, job fairs, employee referrals, internal recruiting, job postings, etc. HR managers need to comprehend the comparative advantages and disadvantages of these techniques in order to make informed decisions about the employment of any such technique.

5.3.5.5 Design advertising carefully.

Regardless of which method is employed, it is usually critical to cautiously design the recruitment advertising so that it could capture the attention of job seekers (French, 2003:241).

5.3.5.6 Consider electronic recruiting.

The Internet has become one of the fastest growing recruiting methods. According to French (2003:241), the number of people logging into the Internet to post or look for vacant positions is predicted to increase twofold. According to Sims (2006:119), this predication has been fulfilled since Internet use for matching jobs and applicants continues to grow exponentially. It is necessary for management to design the organisation's website as a recruitment centre.

5.3.5.7 Explore innovative sources.

When hunting for exceptionally qualified applicants, it is advisable to reflect on innovative sources like alumni associations, unemployed youth services, interest groups and religious organisations. These could widen the recruitment pool (Sims, 2006:119, 120).

5.3.5.8 Compile and use talent banks and skills inventories.

Talent banks and skills inventories are most effective for internal recruitment. They are stored records on existing employees, arranged in such a way that their skills and talents can be easily identified (Sims, 2008:120).

5.3.5.9 Offer pre-employment programmes and internships.

When employers experience difficulty in finding qualified applicants, it would be advisable that they offer pre-employment training programmes. They should recruit trainees with potential and then offer them practical training to assist them in becoming qualified for projected openings in the organisation. Internships could also

be employed to prepare capable high school, technical school, and university students for employment with the organisation (Sims, 2006:120,121). According to French, (2003:243) internships provide students with a unique opportunity to experience an organisation first-hand. They also offer managers with an exceptional opportunity to further assess the student's potential.

5.3.5.10 Make judicious use of search firms.

Sims (2006:121) states that organisations should utilise employment agencies, search firms and temporary agencies when recruiting temporary employees during short periods of peak need, as well as during the provision of seasonal sales and services**.**

5.3.5.11 Pay and working conditions.

Applicants are often drawn to an organisation by its compensation system and pay structures. These can serve as essential factors in attracting suitable applicants (Nel *et al.,* 2011:170).

5.4 Selection

5.4.1 Introduction

Farr and Tippins (2013:1) define selection as: "…a process that employers use to make decisions concerning which individual from a group to choose for particular jobs or roles within the organisation". It is one of the most crucial HRM functions (Rabin, 2003:618). Selection is an organisation's decision regarding applicants where screening takes place and its pool of applicants is created during the recruitment process (Yu & Cable, 2014:23; Rao, 2005:144). Caruth *et al.* (2009:11) states that recruiting sets selection in motion.

Selection is significant to organisations, since employing the wrong people could result in an organisation incurring high costs. Hence, it is crucial for an organisation to select the right people for the appropriate job at the right time (Nel *et al.*, 2011:189). Rabin (2003:618) further states that it usually entails a mixture of several

examination procedures, which will be discussed below.

5.4.2 Selection process.

It is important to note that, while recruitment deals with attracting competent candidates to fill vacant positions within the organisation, the process of selection involves cutting down on that group and making appointment decisions (Gilmore & William, 2012:100). Bohlander and Snell (2007:244) maintain that the recruiting process, which is intended to escalate the number of applicants who meet the requirements of the position as well as the organisation needs, exists concurrently to the selection process that reduces that number by choosing candidates who meet minimum requirements. This process must be recognised by managers as a systematic gathering of information. Its aim is to generate as much job-related data as possible to enable the manager to choose the right individual to fill a job (Stone, 2011:238).

Its governance helps to promote effectiveness, impartiality, accountability and submission to legal regulations and organisational directives (Farr & Tippins, 2013:225). According to Swanepoel *et al.* (2003:284), the selection process contains a number of steps which are typical of most organisational selection procedures. The sequencing of selection steps may also vary from job to job and from organisation to organisation. For instance, some organisations may place more value on testing applicants, while others may place it on interviews and reference checks (Rao, 2005:144). The steps an applicant should go through after the recruitment has been completed are discussed as follows (Grobler *et al.,* 2006:187-199):

5.4.2.1 Initial screening.

This step reduces the time spent on the selection process by the HRM department through the elimination of applicants who are not qualified for the position. This involves HRM officers reviewing CVs or application letters from applicants in order to determine which applicants have the minimum qualification stipulated by the job specifications (Grobler *et al.,* 2006:187). The purpose of this step is to reduce the

number or applicants that are not suitable for the job (Swanepoel *et al.,* 2003:284). According to Stone (2010:241), when applying online, applicants are required to reply via email and attach their CVs. However, the decision on whether a person is qualified for the job should be in line with the stipulations of labour legislation (Nel *et al.,* 2011:189).

5.4.2.2 Application form.

The application form constitutes the basis for all the employment information to be used in the later stages of the selection process (Stone, 2010:242). This step also involves issuing an application form to be completed by applicants, which entails the personal details of an applicant as well a biographical information such as education, work experience and general information regarding the state of the applicant's health (van Dyk *et al.,* 2004:235). This information will enable the employer to determine whether an applicant has the minimum qualification for the job, which then results in the reduction of the number of applicants being interviewed (Ivancevich, 2007:221). The Human Resource practitioners employ the use of the application form to produce background checks, that is, past performance history and reference, as well as interview questions (Grobler *et al.,* 2006:189). Stone (2010:241) maintains that organisations are increasingly using Internet technology to receive and process job applications, especially for large volumes of appointments.

5.4.2.3 Interviews

Interviewing is another method frequently employed to gather data in the employment process. According to Kvale (2007:14) interviews are…"an interchange of views between two or more people on a topic of mutual interest, sees the centrality of human interaction for knowledge production…". Armstrong (2006: 441) states that interviews present a chance for an exchange of information that will enable both parties to decide whether or not to offer a job or whether or not to accept the offer. The aim of this step is to gather information from the applicant as well as to evaluate the application on the foundation of this information. It can also be used to measure the applicant's social and self-assurance, speaking capabilities and how the applicant relates to others (van Dyk *et al.,* 2004:237). Sharma (2009:143) states that employ-

ees and/or managers are asked a sequence of questions concerning the job, crucial duties of the job in question as well as the necessary competences.
According to Deb (2006:177), screening interviews are employed whenever there is a large number of applications, and these are usually conducted by HRM professionals. These interviews usually establish whether there is anything that would render a candidate for the position unqualified, by focusing on the accomplishments and qualifications of a candidate.
According to Dale (2006:3), if an interview is well planned and done in a manner in which each candidate is evaluated in relation to the job requirement, it can be very effective. Arthur (2012:119) argues that, in order for managers to prevent being charged with discrimination, they should avoid questions that are not job related during the course of interview and only ask questions which relate to work experience, education as well as the job requirement and responsibilities.

There are three types of interviews: structured interviews, semi-structured interviews and unstructured interviews. In structured interviews, the interviewer arranges a list of predetermined questions focusing at particular life history occurrences that provide an insight into how the incumbent will perform on the actual job, and does not move away from the course of interview. In semi-structured interviews, the main questions are prepared ahead and these are used to direct the interview, however, the interviewer is allowed to ask penetrating questions into areas which appear to encourage additional searching. This approach joins sufficient structure to make it possible for the swapping of honest information with sufficient independence to create insights. The third type of interview is known as an unstructured interview, here, the interviewer asks unplanned questions and the choice of interview is not planned in advance. He/she may arrange a few common questions to commence the interview. This process is intended for the interviewee to speak about issues that are personally significant if afforded the opportunity and support to do so (Nel *et al*., 2011:192,193).

The principal advantage of structured interviews is that they are consistent, and that all applicants are asked questions based on the selection criteria, treated in a similar manner and provided with an equivalent opportunity to perform. They are time efficient and easy to conduct. The major disadvantage of structured interviews is that

they are rigid, in the sense that applicants' responses may necessitate further probing or lead to other areas that tend to be ignored Compton (2009:17). However, Dale (2006:17) further argues that research has proved that an interview is a very weak judge of success in a job, despite the fact that it is continuously employed as the final phase in the process that leads to the ultimate decision to make the job offer to the candidate. The reason for this is that the interview presents a chance to examine whether the candidate will fit into the organisation socially, and whether he/she will be able to work with others in the organisation.

The best practice in the interviewing process is to ensure that the interviewers are only asking questions that are linked to the job, namely questions regarding their experience and qualification in relation to job tasks. In so doing, the organisation will be in compliance with the labour legislation and prevent being charged with unfair labour practice (Arthur, 2012:119). According to Nel, *et al*. (2008), one of the most crucial necessities of an interview is for an interviewer to make short notes during the interview.

5.4.2.4 Employment testing.

According to Keating and Moorcroft (2006:63), there is a variety of more formal selection tests in existence, should the job require this. Cascio (2010: 245) asserts that organisations regularly employ more techniques to evaluate the applicant's ability to perform the job. For instance, they select them based on the outcome of their physical or psychological testing. According to Edenborough (2005 83), psychometrics tests are widely used in the external selection of employment-associated circumstances. Mackay (2013:272) states that organisations that produce these psychometric tests maintain that these tests can reduce the recruitment costs as well as minimise the risk of employing the wrong person. He further states that they can also reduce costs especially when an organisation is dealing with huge numbers of applicants. Swanepoel *et al.* (2003:286,287) name some of these tests as follows:

i) Intellectual ability.

This test entails a measurement of ability, and has always been commonly used for selection (Swanepoel *et al.,* 2003:286). Evaluating a candidate's ability to reason with figures, words and theoretical items in these tests are good pointers of a candidate's ability to learn speedily. They are also the most reputable predictors of job performance (Stone, 2011:245).

ii) Aptitude

These tests involve the measurement of factors like verbal capability, expression fluency, recollection, logical reasoning, inductive reasoning, numerical ability, perceptual promptness, form discernment, spatial ability and coordination (Swanepoel *et al.,* 2003:287). Some authors believe that these tests are essentially valid for all types of jobs (Stone, 2011:245).

iii) Personality tests.

These tests are aimed at identifying personality characteristics such as self-absorption/unreservedness, emotional stability and enthusiasm (Stone, 2011:245). According to Swanepoel *et al.* (2003:287), research has proven that personality has an impact on work performance.

iv) Performance tests.

These tests are aimed at evaluating the applicant's performance on specific tasks that are representative of the actual job (Swanepoel *et al*., 2003:287). Performance tests are job-related, and are inclined to be accurate forecasters of specific competences necessary for the job (Stone, 2011:245).

However, according Kleynhans *et al.* (2006: 100), these tests are lawful based on the Employment Equity Act (No. 55 of 1988), if the assessment:

- Has been scientifically confirmed to be legitimate and trustworthy
- Can be honestly applied to all employees

- Is not subjective against any employee or faction

Stone (2010: 244) provides guidelines for the use of tests as follows:

- Carefully study the job to determine the exact requirements necessary to execute the job effectively.
- Examine the types of tests that are in existence, that measure the important aspects for successful work performance recognised by the job analysis.
- Check whether the atmosphere in the organisation is conducive for testing, and whether there will be employee resistance, negative reactions from trade unions, or the discouraging of good candidates.
- Make sure that the organisation has an unbiased performance appraisal system, except if you can obviously distinguish between high and low-performing employees.
- Ensure that the circumstances under which tests are run are suitable and similar for all candidates.
- Ensure that the tests are managed by trained personnel and that the results are treated as strictly confidential (Stone, 2010:244). Keating and Moorcroft (2006:63) also state that these tests need to be applied, interpreted and evaluated by appropriately qualified professionals.
- Ensure that all applicants are informed of the outcomes of the tests and are appropriately advised.

5.4.2.5 Reference checks.

According to Stone (2010:259), job offers should not be made until a thorough reference check has been finalized. Reference checks are meant to confirm the truthfulness of the information provided earlier by the applicant as well as expose harmful background information (i.e. criminal records) (Nel *et al.,* 2008:249). According to Grobler *et al*. (2006:196), there are various ways of performing reference checks, namely, visiting previous employers or friends of the applicant, using mail, telephone calls and making use of outside services for which the employer pays a fee for investigating the applicant's background.

5.4.2.6 Medical checks.

This step is aimed at obtaining work-related information regarding the applicant's health condition (Stone, 2010:260). It takes place after a decision has been made to make an employment offer to the applicant (Grobler *et al.* 2006: 198). Medical checks are necessary to establish whether the applicant will be able to perform crucial functions of a particular job (Nel *et al.,* 2008:251). According to Nel *et al.* (2011: 197), it is therefore not necessary for the employer to compromise the integrity of the job by employing a person who is physically unable to perform the crucial functions of the job. In instances where it is a necessity, it becomes the duty of the employer to make it clear to the applicant. An excellent way to have it on record is to state it clearly on the application form, but this should be within the limitations of the legislation (Du Plessis as cited in Nel *et al.,* 2008:25).

Nel *et al.* (2011:197) and Stone (2010:260) further provide main reasons why physical examinations are a pre-employment condition:

- To make sure that the applicants meet the physical criteria for the job and that they are not placed in jobs for which they not physically suited.
- To protect the health of current employees from contagious illnesses.
- To protect the organisation from workers compensation claims by identifying injuries and illnesses existing at the time of the employees' employment.
- To determine any medication restriction of the application.
- To set up a record and foundation of the applicant's health.
- To limit absenteeism and mishaps by recognizing health problems.
- To notice communicable diseases that may be unknown to the applicant.
- To determine the applicant's eligibility for group life, health and disability insurance.

5.4.2.7 Offer of employment and appointment.

According to van Dyk *et al.* (2004:242), a candidate who has made it through all the phases of the selection process, stands a good chance of being given a job offer. Keating and Moorcroft (2006:63) state that provisional offers of employment may take place after the selection process has been concluded and the decision has

been made. Stone's (2010: 265,266) statement concurs with the statements of both Van Dyk *et al*. (2004:242) and Keating and Moorcroft (2006:63), when he states that the last step in the selection process is for the line manager to make a decision to offer employment to the applicant or to reject the applicant. This entails consideration of selection information for all the applicants who passed the initial screening.

Kleynhans *et al.* (2007:104) also state that the line manager makes the final decision after he has perused the information of the final candidate. In all cases, a person making the final decision must be impartial to all final candidates without any favouritism. Keating and Moorcroft (2006:63) further state that it should be clearly stated that this offer is contingent upon the receipt of an acceptable reference as well as meeting any other conditions.

It is important to note that candidates will also be assessing their prospective employer and that they can withdraw their application at any time. However, the methods in which these processes are handled have an effect on the candidate's perception of the organisation and an impact on their decision as to whether to join the organisation, should an offer be made (Gilmore & William, 2012:100).

5.4.3 Factors that influence the selection decision.

5.4.3.1 Introduction

Nel *et al.* (2008:239) assert that there are several internal and external factors that affect the success of the selection decision. These entail legal issues, the economy, the labour market, competitors, customers, technology and unions. The internal factors include the mission, vision and objectives, policies, organisational climate, management philosophy and other functional areas (Caruth, *et al.* 2009:12). These are discussed as follows:

5.4.3.2 External Factors.

According to Invancevich (2007:215), some of the most important environmental influences of the employee selection are the size of the market, the structure and the availability of the local labour market.

i) Legal Issues in Selection.

South Africa's previous labour market policies intentionally limited the access of Africans in particular to skilled positions, specific segments and certain occupational groups (Moleke 2005:2). This resulted in imbalances. To counteract this, the Employment Equity Act (No.55 of 1998) was enacted to reverse these imbalances of the past in relation to race, gender, and disability, which had deprived certain ethnic groups of the opportunities for education, employment and promotion. The Employment Equity Act ensures that workplaces are free from inequities and that employees are involved in promoting equity (Nel *et al.,* 2008: 239, 240).

Moleke (2005:3) further states that several labour regulations, policies and initiatives, have been put in place, to address the imbalances in the labour market. According to Gatewood and Feild (2011:22), the development of the selection program within an organisation has become more complex, especially when including legal policies that need to be taken into consideration. These legal policies have an impact on the records that must be kept on all employment decisions, the determining of impartial treatment of all applicants and the approaches for detecting the job relatedness of selection procedures. HRM professionals must ensure that their selection processes are free from discrimination and that applicants are selected based on the job requirements**.**

ii) The Impact of labour market on employee selection.

Caruth *et al.* (2009:14) define labor market as a: "…geographical area – local, regional, national, or international - from which an employer usually recruits workers. It is a subset of the work force where supply and demand for individuals with specific skills interact…". In other words, it is a source from which organisations obtain their labour force. Nel *et al.* (2008: 187) also states that the labour market is the foundation from which organisations are able recruit their work force.

According to Ivancevich (2007:215), one of the most crucial environmental factors that impact on the selection process is the size, composition and accessibility of local labour markets. These environmental factors are also influenced by economic factors. This makes it impossible for the organisation to attract and employ the number of candidates it requires during recession. Attracting suitable candidates could also

be very difficult during the economic boom when there is an oversupply of competent people. Jackson *et al.* (2011:257) state that selection practices have shown an opposing effect when an organisation's labour force does not reveal equality with the composition of the related labour market. The work force is active, changing in numbers and features over time. As these changes take place, they impact on the employment process. For instance, when there is a shortage of skills in the labour market, this makes it more problematic to attract and keep adequate numbers of employees to perform the work of the organisation. On the other hand, an oversupply of employees simplifies this task. Even inadequately qualified younger workers can modify the recruitment and selection process (Caruth *et al.,* 2009:13). Based on what is stated by various authors, it is clear that the labour market has an effect on the organisation's selection processes.

iii) Economy

The economy of a country has a tremendous impact on the selection process. For instance, companies grow during economic growth, which in turn results in organisations severely competing for qualified employees. The selection process becomes more challenging due to a wide range of employment opportunities open to applicants. However, it becomes better during economic recession as a result of the availability of a large pool of applicants (Caruth *et al.,* 2009:13). According to Catano *et al.* (2010:5), the economic aspects that influence selection practices entail worldwide competition, speedy developments in information technology, changing labour force demographics and unionised work environments. Gatewood *et al.* (2011:6) maintain that the number of applicants fluctuate greatly as a result of general economic and educational conditions over which the organisation has limited control. Compton *et al.* (2010:5) maintain that organisations may resort to alternative sources of contract or permanent employees during periods of economic growth or emphasize retrenchment or early retirement during economic decline, which would result in selection strategies changing consistently with organisational development.

iv) Competitors

An organisation is forced to compete with other organisations for the skills necessary to produce its goods and services, unless it is the only one using certain competences. The extent of the existing competition in the labour market affects the way selection is conducted (Caruth *et al.*, 2009:14). Farr and Tippins (2013:195, 201) maintain that, although employee selection focuses on identifying whether applicants possess the relevant knowledge, competences, capabilities and other traits to contribute to effective individual performance, these alone are not enough to generate sustainable advantage. According to Catano *et al.* (2010:6), in order to gain competitive advantage over their competitors, organisations must have HRM strategies for selecting employees who will contribute to the general effectiveness of the organisation.

v) Customers

Customers are the people who actually use the organisation's products or services and, since they are continuously demanding high-quality products and service excellence, organisations must frequently endeavour to employ employees who can provide these types of products and service levels. Product or service quality is directly related to the skills and qualifications of the organisation's employees (Caruth *et al.,* 2009:14). The employees' emotional condition also has an influence on customer service, which in turn impacts on levels of repeat business and levels of customer gratification (Robbins *et al.,* 2009). Caruth *et al*. (2009:14) further asserts that customers influence selection by exerting pressure on an organisation and by affecting its staffing practices.

As such, organisations need to constantly review their employment practices to ensure that their customers are satisfied with the organisations' practices. According to Daft and Marcic (2011:288) managers have to select the right people and fitting them to the right positions where they can be effective and provide better customer service. This can lead to the development of long-term relationships that result in customer loyalty.

Farr and Tippins (2013:201) argue that knowledge, competences, capabilities and other traits can and are checked by many organisations. In order to gain competitive

advantage, knowledge and competencies need to be pooled with other properly aligned HRM practices, a robust culture and management practices. Selection based on these traits can result in the development of organisational competencies such as combined customer services.

vi) Technology

Technology refers to the methods by which an organisation transforms inputs into goods and services. Computers, mechanisation and information-processing have drastically changed transformation processes in most organisations over the past two decades (Caruth *et al.,* 2009:14). According to Singh (2010:364), technology signifies the extent of standardisation defining the work-flow and performance of jobs in an organisation. When technology changes, the nature of work changes too. In addition to changes in the nature of work and employment, the improvement and transmission of new technology also has the potential to change the nature of the HRM function itself (Wilton, 2011:442); this in turn will affect HRM practices such as recruitment and selection.

Proctor and Butcher (2010:38) maintain that substantial and rapidly changing technology means that organisations need to continuously transform the skills and knowledge of their employees. Some organisations employ very complex technology, while others have very detailed methods of doing things and this affects the way people are managed in organisations (Kleynhans, 2006:17).

vii) Unions

The labour unions have a robust and critical influence on the HR environment of an any organisation (Durai, 2010:54). Traditionally, they have played an important role in controlling the employment relationship in the UK through collective bargaining with employers over wages, working practice and the terms and conditions of employment. Although they have experienced a decline in certain countries, they still play a pivotal role in others, especially with regard to HRM practices (Wilton, 2013:255).

A study conducted in India revealed that Indian managers indicated that unions had a great influence on HRM policies and practices. Unions still greatly influence the HRM policies and practices in the recruitment of new employees, payment of bonuses and internal transfers (Budhwar & Debrah, 2001:82,83). Another study on the collective bargaining contracts of teachers revealed that 84% of the agreements entailed policies governing employee selection that had provisions for establishing a pool of applicants consisting of teachers who had been recently laid off, voluntarily transferred, involuntarily transferred, come back from a leave of absence or worked as substitutes (Kearney & Mareschal, 2010:209).

5.4.3.3 Internal Factors.

The internal factors that impact on selection processes include the mission, vision and objectives of the organisation as well as policies, organisational climate, management philosophy and other functional areas (Caruth *et al.* 2009 10). According to Ivancevich (2007:214,215), some of the few internal factors that can affect the type of selection processes include the size of the organisation, complexity and technological instability. Van Dyk *et al*. (2004:233,234) provides an outline of the internal factors that impact on the selection process as including the size of the organisation, the type of the organisation, the speed of decision-making and applicant pool and selection method. These are discussed as below:

i) Mission, Vision and Objectives of the Organisation.

The mission is an overall purpose of the organisation as a body, while the vision signifies what the organisation's expectations of the future are. The objectives are precise outcomes to be achieved within a specified period of time (Caruth *et al.,* 2009:10). Human resources are influential to the planning and execution of the strategic goals of the organisation and to the realisation of its vision and mission statement (Dzimbiri, 2008:24).

According to Williams (1993:103), the organisation's mission has an impact on the employee selection process in the sense that it sets limitations for the quality and competences to be employed in employee selection. Robbins *et al.* (2009:450),

maintains that the aim of effective employee selection is to determine the candidates, with relevant quality and competences, by matching individual traits with the requirements of the position. Lee-Ross and Pryce (2010:67) also maintain that the organisation's mission, goals and strategic choices reinforce the entire human resource process entailing the employee selection.

ii) The size of the organisation

The size of the organisation often regulates the extent of the formality of the selection process. The larger the organisation is, the more formal the process is, whereas the smaller the organisation is, the less formal it is. In some instances, different methods are employed for different levels of positions (Nel *et al.,* 2011:187; Nel *et al.,* 2008:240; van Dyk *et al*., 2004:233).

According to Invancevich (2007:215), although the size alone cannot determine how selection is approached, there should be an appropriate number of positions necessary to be filled for the organisation to recover the costs of developing an expensive selection system. Ivancevich (2007:215) further states that complex selection systems are usually found in larger organisations with the economic resources required to pay for such systems.

iii) Type of organisation

The types of organisations, such as a private, public and non-profit, have an impact on the selection process (Mondy 2010:159). Private sectors screen prospective employees based on how they can assist in the attainment of profit goals, whereas in the public sector, managers are allowed to select only from among top three applicants for the position. Non-profit organisations are unable to compete on the same salary levels as private or public sectors, and as such, they need a person who will be both qualified and dedicated to the job (Nel *et al.,* 2011:187; Nel *et al*., 2008:240; van Dyk *et al*., 2004:233).

iv) Speed of decision-making

Speed is very critical in the selection process especially in situations where

processes could be disrupted as a result of not having anyone qualified to perform certain tasks (Nel *et al.,* 2011:187; Nel *et al.,* 2008:240; van Dyk *et al.,* 2004:234). Mondy (2010:159) maintains that research has proven that organisations that manage to fill positions speedily have a greater total return to shareholders.

v) Applicant pool.

The number of applicants for a specific position can have an impact on the selection process in the sense that the selection process can be very discriminatory when there are many qualified candidates to perform the job. However, it becomes an issue of selecting whoever available in situations where there is only a limited number of candidates with the necessary competences (Nel *et al.,* 2011:187; Mondy, 2010: 159; Nel *et al.,* 2008:240; Van Dyk *et al*., 2004:234).

vi) Organisation structure.

The tiered organisational structure governs the selection panel as well as the selection process. Human Resource managers together with the line manager of that particular department, usually form part of the selection panel in larger organisations, whereas it is an HR consultant that conducts a selection process with the assistance of a manager in smaller ones (Nel *et al.,* 2011:188; Nel *et al*., 2008:241). According to Durai (2010:57), the organisational structure has a tremendous influence on HRM practices in the sense that it assists in the classification and grouping of jobs in the organisation. This classification also assists in the development of recruitment and selection processes for each job category. It also assists HR managers when determining the HRM practices.

vii) Selection Policies.

The selection policies have a tremendous influence on the selection process in the sense that they describe authority and roles; create rules and requirements and set parameters and boundary conditions. As such, they have a direct and obvious influence on the conduct of almost all involved in the selection process. They also override the formation, storage and access to the official information utilised to make

a selection (Farr & Tippins 2013:227). According to Caruth *et al.* (2009:16), the selection policies establish the types of activities to be done regarding the recruitment and selection of candidates. The selection process is also influenced by a number of the organisation's environmental elements and technical decisions made by the creator of the selection systems. These elements are exhibited in a variety of ways, comprising particular requirements from the organisation. Existing HR policies, organisational beliefs and objectives specific to diversity, directly or indirectly influence the organisation's diversity and equal employment opportunities.

Catano *et al*. (2010:106) asserts that the employment equity necessitates a proactive selection policy in order to escalate the number of women, minorities and people with disabilities in the workplace, by eradicating barriers to employing them. The employment equity policy also regulates the selection practices with regard to non-discrimination based on specific traits. These traits entail the following (Outtz, 2010:298,290):

- Organisational aspirations and beliefs in relation to selection diversity.
- The type of the organisational requirements that are addressed by the selection process.
- The organisation's needs in relation to the selection function, including the preferred primary levels of expertise.
- Acceptance of expenses to be incurred.
- The organisation's compassion to legal threat in relation to adverse impact.
- The employing and obtaining practices employed to generate the applicant pools.

viii) Organisational Climate

Organisational climate refers to the predominant atmosphere that is present in the organisation (Deb, 2009:58). The organisational climate can either be positive or negative. A positive atmosphere enables the recruitment and selection task to be executed with ease, whereas a negative one makes it more difficult to execute (Caruth *et al.,* 2009:17). Deb (2009: 58) further asserts that it assists in the development of policies and practices within the organisation. According to Schneider and Barbera (2014:34), the organisational climate may impact on the

relationship between recruitment and selection practices and the knowledge, skills, abilities and other traits in numerous ways:

- It determines which employment practices are utilised (Schneider & Barbera, 2014:34).
- Organisations with a climate of service, for instance a university, may employ selection methods for KSAOs connected to high quality service delivery while organisations with a climate for safety, for instance an oil company, may employ selection methods that select KSAOs associated with safety (Schneider & Barbera, 2014:34).

ix) Management Philosophy

Caruth *et al.* (2009:17) argues that management philosophy is usually referred to as organisational culture, and it has an effect on recruitment and selection practices. Values, philosophy and culture have an impact on how they are executed. These philosophies provide employees with a clear understanding of the way things are done. They stem from top management and sift down through the organisation. The recruitment and selection processes are reciprocal processes that allow both the employer and the employee to match one another, and in so doing, they sustain an organisation's culture by choosing those candidates who will preserve the core beliefs of the organisaton (Ranganayakulu, 2005: 183,185). Walker (2011:189) also asserts that the selection process is vital to sustaining an organisational culture.

x) Selecting method.

Robbins et al. (2007:8) argue that the approach used by the organisation in the selection process is the one that will determine the type of people that will be in its employment. The choice of a technique employed depends on the following aspects (Nel *et al.,* 2011:188; Nel *et al.,* 2008:241; Van Dyk *et al.,* 2004:234):

- The selection standards, like a group of techniques and assessment centres.
- The suitability and relevance of the technique.
- The capabilities of staff members involved in the process.
- The complications of administration.
- The cost of selection techniques selected.

5.4.4 Barriers to effective selection.

The barriers to the effectiveness of selection process include perception, fairness, validity, reliability and pressure. These are discussed as follows (Aswathappa, 2013:239; Randhawa, 2007:88):

5.4.4.1 Pressure to appoint.

The pressure to select particular candidates may come from friends, politicians, family and peers, This may cause an obstacle to effective selection (Randhawa, 2007:88). Candidates selected because of compulsions are obviously not the right ones. Appointments to public sector undertakings are generally taken under such pressures (Aswathappa, 2013:239).

5.4.4.2 Fairness

Impartiality does not discriminate on the basis of faith, class, sex or race. However, in certain instances, females are discriminated against their male counterparts in certain jobs (Randhawa, 2007:88). Aswathappa (2013:239) also asserts that impartiality necessitates that no person should be discriminated against on the basis of faith, area, race or sex. Despite that ruling, there are still fewer numbers of women and minority groups in middle and top management positions. Open discrimination on the basis of age in job advertisements and in the selection process would indicate that all the attempts to reduce unfairness have not been very effective.

5.4.4.3 Perception

People may have different perceptions, but the selection process requires that people should evaluate and compare the respective abilities of others with the objective of selecting the right persons for the jobs (Randhawa, 2007:88). Aswathappa (2013:239) also argues that the most essential barrier to choosing the right person is perhaps our failure to comprehend others accurately. We have insufficient perceptual skill, which is clearly a barrier to the aim and sensible choice of candidates.

5.4.4.4 Reliability

It can happen that even a consistent selection test may fail to foretell the job performance accurately (Randhawa, 2007:88). According to Aswathappa (2013:239), this technique is one that will yield constant outcomes when repeated in related circumstances. However, it may not succeed in forecasting job performance with accuracy.

5.4.4.5 Validity

Validity refers to the degree to which a selection test accurately assesses what it aims to measure. It aims at the possibility of accomplishment, but it does not always correctly predict the accomplishment (Randhawa, 2007:88). According to Aswathappa (2013:239), it assists in forecasting the performance of an incumbent on the job. A test can distinguish between candidates who can perform successfully on the job and those who cannot, if it has been authenticated. However, the test does not precisely foresee job achievement; it can only increase the possibility of achievement.

5.4.5 Best practice in Selection Process.

Robbins *et al.* (2009:450) argue that the purpose of an effective selection is to determine who these right people are, by linking individual traits with the requirements of the occupation. According to Catano *et al.* (2010), an empirical study revealed that organisations employing effective selection practices gain competitive advantage in the marketplace and provide the best practices in selection. These include the following:

- Decrease employee turnover and increase productivity.
- Responsibility for the organisation's relative profits.
- Link with the organisation's longstanding profitability and productivity percentages.
- Assist in the generation of employee confidence.
- Develop the knowledge, competences and capabilities of present and future employees of the organisation, intensify their inspiration and retain excellent performing employees.

Gilmore and William (2012:100) assert that research recommends that employing best practice methods based on the three following steps regarding selection processes greatly increases an organisation's productivity:

- Detailed job analysis to detect selection criteria.
- Selection of instrument design.
- Confirmation.

According to Farr and Tippins (2013:242), too many managers regard employee selection as costly, rather than regarding it as an investment. Hence, they want to minimize their costs. Such managers desire selection methods that are better, faster and cheaper. To avoid the costly charges of unfair labour practices and court judgment, HRM professionals need to take into consideration legal procedures in the development and use of selection programs (Gatewood & Feild, 2011:22).

HRM professionals must ensure that selection procedures are adapted to lawfully enforced guidelines and that their practices meet constitutional standards. They must also ensure that employees are treated with respect and dignity (Caruth *et al.*, 2009:12). It is very crucial that they should comprehend legal guidelines for selection decisions thoroughly (Gatewood & Feild, 2011:22). Besides saving costs of unfair labour practices, an effective selection practice may make a difference between the failure and success of the organisation. When people with the right competences or the highest level of competences are employed in the organisation, those competences may result in positive economic outcomes for the organisation, but the opposite results in negative economic outcomes (Catano *et al*., 2010:5).

Gatewood and Feild (2011:22) further mention two objectives that a selection program should have:

- Increasing the likelihood of making perfect selection decisions about applicants.
- Making sure that these selection decisions are carried out in such a manner as to reduce the chance of the organisation being charged with discrimination.

5.5 Compensation

5.5.1 Introduction

Grobler *et al*. (2006: 350) assert that “compensation refers not only to extrinsic rewards such as salary and benefits, but also to intrinsic rewards such as achieving personal goals, autonomy and more challenging job opportunities”. This is one of the vital HRM practices (Iqbal *et al.,* 2011). Caruth *et al.* (2009:327) argue that the aim of compensation management is to pay the employees reasonably and fairly while successfully attaining the organisational goals. Paul and Anantharaman (2003) maintain that compensation has a direct impact on operational performance factors like the retention of employees. These account for a huge expense in organisation (Baker & Utrecht, 2007). Lee and Lee (2007) found in their study that compensation and incentive were among the essential HRM practices that had an effect on productivity, the quality of the product as well as organisational performance.

5.5.2 Factors affecting Compensation and Compensation policies.

There are a number of internal and external factors that impact on compensation management. These are discussed below (Snell & Bohlander, 2013:404; Swanepoel *et al*., 2008: 483-485):

5.5.2.1 External factors.

Kandula (2006:46) cites some of these factors as being market forces, the cost of living, the quality of living, industry trends, the labour supply and demand, as well as certain geographical aspects. Other external factors that impact on compensation include government influences, economic conditions, the labour market and unions. These are discussed below:

According to Singh (2012:262), some external factors that influence compensation indirectly include major government policies that impact on employee benefits and services, wage regulations, income tax policies and specific benefit laws. In addition to government policies, unions are a leading power in the advancement of benefits

and services. Economic issues also impact on benefit decisions in contradictory ways. Managers are keen to minimise increases in labour cost in order to realise competitive prices for their products and services. Since indirect compensation constitutes a main chunk of labour costs, benefits and services receive top priority in the cost-reduction drive.

Some of the external factors include the following (Snell, & Bohlander, 2013:404):

- Labour market conditions.
- Area pay rates.
- Cost of living.
- Collective bargaining.
- Legal requirements.

i) Government influences.

The government directly affects compensation through wage regulations and set laws, which prevent raises in salaries for certain employees at certain occasions. These laws create the minimum pay rates and prohibit inequity (Ivancevich, 2007:298). The government legislation includes the Labour Relations Act 66 of 1995, the Basic Conditions of Employment Act 75 of 1997, the Employment Equity Act 55 of 1998, the Skills Development Act 97 of 1988, the Skills Development Levies Act 9 of 1999, Unemployment Insurance Act 63 of 200 and the Income Tax Act 58 of 1962 (Swanepoel, *et al.,* 2008: 483). Organisations need to ensure that their compensation practices comply with government legislation.

ii) Economic Conditions.

The economic conditions that impact on the compensation policy include the inflation rates, recession, and distinction in the living expenses in various parts of the country, general employment rate and competitiveness in the local or global product market (Swanepoel *et al.,* 2008:483). According to Ivancevich (2007:298), the level of competitiveness within the industry can also have an impact on the organisation's capability to pay high salaries**.** Should the situation be more competitive, the organisation may not be able to afford to pay higher salaries. The ability to pay can

also result from the comparative productivity of the organisation, industry or segment. For instance, the more productive the organisation is, the higher the salaries it can pay.

Logger *et al.* as cited in Bhattacharya and Sengupta (2009:138) also assert that the level of economy is another factor that has an influence on salary rates entails the level of the economy. Although affluent countries may pay higher salaries, high cost of living may have a negative effect on the employees' purchasing power as compared to other countries with lower costs of living.

iii) Labour Market.

The compensation levels usually differ in terms of power of supply and demand according to the general labour and particular expertise (Swanepoel *et al.,* 2008:483). According to Ivancevich (2007:295,296), salaries may be higher during full employment occasions in order for organisations to draw and maintain enough qualified employees. Similarly, they can be lower during depression. They can also be higher when there are fewer skilled employees available in the labour market. This situation may be as a result of unions or accrediting associations reducing the numbers certified to perform the job. The limitation of salary costs is contingent to the organisation's generated profits. Similarly, the supply of labour also has an influence on the salary rates in the sense that when there is a shortage of labour the salary rates increase, and when there is an oversupply of labour the salary rates decreases. Another organization-related factor includes the organisational cost strategy. Organisation with cost-effective strategy often have a tendency of cutting down on salary levels (Logger *et al.,* cited in Bhattacharya & Sengupta, 2009:138). Cascio (2010:423) also asserts that salaries paid for certain skills tend to be higher when there is higher demand for such skills and while the supply is low.

iv) Unions

Unions may have a major effect on the determination of compensation levels and incentives through collective bargaining and other related methods (Swanepoel *et al.,*2008:483). According to Ivancevish (2007:302), unions have an impact on compensation irrespective of whether the organisation's employees are unionised or

not. They are likely to be leaders in demands for salaries, benefits and better working environments. Unions also have an effect on compensation policies, especially in intensely unionised organisations.

v) Collective bargaining.

Collective bargaining agreements affect the non-unionised members of an organisation since they must contend with unionized organisations for the employees' services and devotion. For example, employees are often drawn toward higher paying jobs, to such a degree that the non-unionised organisations fall short of matching the salaries of unionised organisations. Therefore, it may be complex for them to draw and maintain employees (Cascio, 2010:427). According to Durai (2010:325), when a union applies intensive strength on an organisation, wage agreements tend to be concluded in favour of its constituents.

According to Deb (2009:322), the following factors have an impact on the organisation's compensation design:

- Industry degree and features.
- Economic circumstances.
- Legal and governmental environments.
- Social-cultural features.
- National cultural preferences.
- Employees' features such as their level of education and labour cost.
- Variances in individual income revenue systems.
- Foreign currency exchange rates.

Goel (2008:233) also outlines some of the external factors that affect compensation management as being the labour market, cost of living, labour unions, legislation, the economy and the society at large.

5.5.2.2 Internal factors.

Internal factors are specific to the organisation in the sense that the wage costs

margin relies on the additional worth and profits produced by the organisation. A workforce scarcity or surplus also impacts on the salary rates. Although workforce scarcity causes an increase in salary rates, a workforce surplus causes a decrease in income (Logger *et al.,* cited by Bhattacharya & Sengupta, 2009). According to Kandula (2006:46,47) some of the internal factors that influence the compensation system, include the financial health of the organisation, the power of collective bargaining forces, organisational values and the extent of skills required. Other internal factors that affect compensation include the organisation's ability to pay, employee needs, job requirements, strategy, culture and values as well as individual factors. These are discussed below.

Snell & Bohlander (2013:404) further outline some of the internal factors:

- Organisation's compensation strategy.
- The worth of a job.
- An employee's relative worth in meeting job requirements.
- An employer's ability to pay.

i) The Organisation's Ability to Pay.

Typically for organisations, the trend is to pay salaries that are equivalent to the competitors. However, the organisation's strategy would be to evaluate the compensation plan, which must suffice to entice and retain the competent people. Caution should be taken to assess the viability, such as whether the organisation has enough money to pay in order to achieve its goals (Goel, 2008:233). Milkovich and Newman (2008) maintain that, for the organisation to be able to pay its labour costs and other expenses, it needs to earn enough income through the sales of its product and services. Its ability to pay has a tremendous effect on the organisations broad level of compensation. The organisation's efficiency, profitability, size as well as its competitors, determine its ability to produce enough income to pay its workforce (Swanepoel, *et al.*, 2008:484). Invancevich (2007:303) also argues that some of these numerous internal factors that affect compensation include the size, age and labour budget of the organisation as well as those making decisions for the organisational compensation.

ii) Employee needs.

Employees vary in terms of their preference as to the compensation they receive. Young employees may need more cash than the older employees. Similarly, senior management, who are more highly paid, may have different needs to general workers. As such, organisations might need to build options into their pay systems (Swanepoel, *et al.,* 2008:484).

iii) Job requirements.

Job requirements, such as the average expertise level of employees, might affect the compensation level that could be laid down by the organisation, and the organisation might not get enough numbers of qualified candidates (Swanepoel *et al.,* 2008:485).

iv) Strategy, culture and values.

Compensation policies should support the organisation's strategic goals. Values like the decision-making approach, honesty about communication and social responsibility may also affect the compensation policy (Swanepoel *et al.,* 2008:485). The organisation cost strategy impacts on salary levels in the sense that organisations with profit making strategies are inclined to cut down on salary levels. An organisation aiming to promote performance-based culture will stress performance-based wage (Logger *et al.,* cited by Bhattacharya & Sengupta, 2009).

v) Individual Factors.

Apart from internal and external factors, there are also individual factors, mentioned by Kandula (2006: 47), which impact on compensation system. These entail employee performance, employee competence, skills and experience of employees, as well as seniority and potential of employees.

There are some other internal factors besides the ones mentioned earlier which are highlighted by Goel (2008:233). The following factors also have an impact on compensation management: the employee's concern, job evaluation and

performance appraisals. The overall strategy that the organisation pursues defines the compensation paid to employees. For instance, in a situation where the organisation intends to achieve quick growth, its strategy should be to formulate improved salary packages for the employees as compared to their competitors. Seniority, guaranteed base pay, hierarchical levels as well as functional categories are also some of the factors that influence pay, besides performance (Storey *et al.*, 2009:177).

The preferences and demographics of a particular employee in an organisation also affect indirect compensation. Most of the employee benefits are tax-free and could therefore probably appeal to employees with higher salaries. However, not all employees may be compelled by such tax-free benefits. They may have more instant needs which can be met only by cash benefits. Likewise, employees having college-going children or marriageable daughters have diverse benefits preferences compared to those who are newly hired with working spouses and children who have not reached school-going age (Singh, 2012:262,263).

5.5.3 Challenges in compensation management.

Compensation is a highly complex and interesting job for the HRM department. It should satisfy different needs of both the employees and the employers reasonably and acceptably. Nevertheless, organisations frequently face several encounters in developing effective compensation management, namely, the emergence of advanced job design, the relevance of money as a key motivator, a lack of objectivity in the fixation of pay structure, political and legal challenges, difficulties in fixing compensation for diverse and critical skills, balancing organisational and individual needs and ethical issues in pay fixation, and these are discussed below (Durai 2010:330).

5.5.3.1 Emergence of advanced job design.

The growth of exceptional employment schemes like flexi-hours, e-commuting and part-time positions, have exhibited new challenges to organisations in developing compensation management. Such challenges include finding it difficult to develop

clear, reliable compensation policies that are unbiased to both conservative and exceptional positions. For example, with regard to the flexi-hour system of employment, the manager's time and the cost of management are extremely high, and in such circumstances, organisations would have to choose who should pay the cost of additional management and other support service costs. All these changes present challenges to the organisation in designing appropriate compensation packages (Durai 2010:330).

5.5.3.2 Relevance of money as a key motivator.

Organisations need to move past money as compensation and focus their attention on other intrinsic aspects as possible substitutes for realising the preferred employee performance, contentment and collaboration. Nonetheless, several organisations view financial benefits as the only payment for the employees' services. Research findings have proven that the more money used as a motivating factor, the more employees are inclined to lose interest in whatever they had to do to get paid (Durai 2010:330).

5.5.3.3 Lack of objectivity in the fixation of pay structure.

Several organisations use biased job evaluation methods similar to job ranking, job grading and corresponding comparison for measuring the value of the position. This may impact on the objectivity of both the job evaluation as well as the compensation management, since job evaluation forms a source for determining the compensation plans. Therefore, deficiencies in job evaluation may result in the underpaying or overpaying of positions (Durai, 2010:330).

5.5.3.4 Political and legal challenges.

Changes in the provisions of the current legislations and regulations may necessitate parallel changes in the compensation plans of the organisation. It becomes vital for the organisation to apply changes each time there are changes in the legislations regarding compensation and other benefits. This may sometimes require a complete amendment in the compensation plans.

Equally, the political ideas and philosophies of the governing party normally determine the government‘s outlook during wage negotiations and industry-level collective bargaining. A pro-workforce government may compel the employers to accept higher benefits for employees during collective bargaining processes. As a result, the change of government and policies influences the compensation policies of an organisation (Durai, 2010:330).

5.5.3.5 Difficulties in fixing compensation for diverse and critical skills.

Organisations are currently finding it critical to develop custom-made compensation packages to recompense the exceptional and crucial competencies of skilled employees. It is essential in an extremely competitive and globalized environment, to have flexible and personalized compensation plans in order to gratify the reward requirements of extremely competent employees. Organisations are also under a growing tension to improve competence-linked and proficiency-based wages for motivating employees to improve their knowledge, competences and abilities on a constant basis. All these developments make compensation design and administration a much more intricate assignment (Durai, 2010:330).

5.5.3.6 Balancing organisational and individual needs.

Organisational compensation plans must balance the organisation needs with individual needs. However, from the compensation standpoint, the employers’ needs and the employees’ needs are equally exclusive in nature. When the employees’ financial needs are adequately addressed, this will improve employee inspiration, contentment and retention, but it could also drive up the labour cost for the organisation. On the other hand, when compensation policies prefer the organisation, it could improve the profitability of the organisation and the product performance in the market. However, such a compensation policy would deter the talented employees from staying in the organisation. They might resign from the organisation and look for greener pastures. Therefore, the compensation plans must be skillfully developed to realise the needs of both the organisation as well as the individuals (Durai, 2010:330).

5.5.3.7 Ethical issues in pay fixation.

Organisations are expected to adhere to the ethical principles in decisions relating to compensation fixation and administration. There must be a sense of fairness in the actions of the organisation relating to compensation planning and administration. Employers are expected to conform to the standards that demonstrate a robust sense of fairness and impartiality and also exhibit a consideration for the interest of all (Durai, 2010:330). A study on the connection between incentive systems and decision-making revealed how CEOs, managers and employees shape their decisions in an effort to meet the implicit or explicit criteria of success as defined by the incentive systems. Regrettably, much of this evidence reveals the ethical complications and gambling that inappropriately designed reward programs might cause. This implies that the systems can either assist the organisation in realizing its strategic goals or they can channel people's effort into the wrong path (Gomez-Mejia *et al.*, 2010:3).

5.5.4 Compensation management process.

Some of the compensation management process steps include compensation strategy, compensation policy, job analysis and evaluation, design and implementation of compensation plans and evaluation and review (Deb, 2006:298). These are discussed below:

5.5.4.1 Step 1: Compensation strategy.

Organisations are set up to achieve particular goals and, as a result, the assessment of organisational strategy, vision and goals is assumed. In order to realise these goals, the organisation must be capable of attracting, retaining and motivating employees with suitable skills and abilities. An organisation that aspires to realise these goals must have a competitive total compensation system that is aligned with the organisation's strategy, and that reflects the competitive reality of the human resource market. As such, organisations need to know that their compensation systems are economical, appealing to valuable applicants and that they maintain and offer sound incentives for competent employees, as this inspires devotion,

determination and creative effort (Deb, 2006:298).

5.5.4.2 Step 2: Compensation policy.

Compensation policy is stipulated by the organisation, and aims at generating an adaptable, competitive and performance-focused compensation setting that permits the organisation to recruit and manage employees with a view of impending challenges. The compensation policy communicates matters relating to the source of determination or total, keeping in view organisational compensation strategy and external factors (Deb, 2006:299).

5.5.4.3 Step 3: Job analysis and evaluation.

This is a process of examining positions from which job descriptions are developed. Job analysis procedures include the use of interviews, questionnaires and observation. Job analysis provides the foundation for job evaluation. Job evaluation is a system for comparing jobs with the purpose of determining appropriate compensation levels for individual positions or position features (Deb, 2006:299).

5.5.4.4 Step 4: Design and implementation of compensation plans.

The designing of a compensation plan entails the following (Deb, 2006:299):

- Formulating the main aim for the plan.
- Setting target dates for application and conclusion.
- Setting a budget.
- Selecting a person to direct compensation plan.
- Establishing a compensation committee.
- Organising a matrix organisational assessment.
- Matching the matrix with information from both the organisational structure and the industry at large.
- Setting grade pricing and salary range.
- Defining a suitable salary structure.
- Formulating a salary administration policy.

- Seeking senior management's approval of the basic compensation plan.
- Delivering presentations to managers and employees and executing the plan.
- Monitoring responses from employees and effecting changes as necessary.

5.5.4.5 Step 5: Evaluating and reviewing.

Compensation evaluation is executed in terms of employee satisfaction, morale and productivity indices. Appropriate previews are continuously implemented (Deb, 2006:299).

5.5.5 Guidelines for effective compensation.

According to Cascio (2010:441), in order to ensure that compensation is effective, employees need to participate in the formulation of the compensation system and adhere to the following steps:

5.5.5.1 Establish high standards of performance.

Setting high performance standards will ensure that employees render excellence in their service and do not deliver average service (Cascio, 2010:441).

5.5.5.2 Develop and implement sound performance management systems.

Performance management systems clearly spell out what good performance is, and reduces barriers that might affect performance. Frequent coaching, feedback and appropriate compensation support excellent performance (Cascio, 2010:441).

5.5.5.3 Train supervisors in the mechanics of performance appraisals and in the art of giving feedback to subordinates.

Supervisors need to be trained to enable them to handle unproductive performance constructively (Cascio, 2010:441).

5.5.5.4 Attach compensation closely to performance.

Supervisors need to employ regular performance reviews such as quarterly or semi-annual reviews, as a foundation for merit increases (Cascio, 2010:441).

5.5.5.5 Employ a broad range of increases.

Supervisors must ensure that pay increases are momentous (Cascio, 2010:441). According to the Employment Equity Act No. 55 of 1998 section 6 (1), employers need not discriminate, either directly or indirectly, in terms of compensation, benefits and terms and conditions of employment, on the grounds of race, gender, sexual orientation, age, disability or pregnancy. This means that employees should receive fair remuneration for equal performance.
Compensation management is a complex and vital feature of human resource management, as its capability or incapability can affect positively or negatively the competitiveness of the organisation. As a result, compensation management is built upon the following sound principles (Deb, 2006:23-24):

i) Ability to pay.

Organisations must pay their employees according to their financial ability and capability, because if they pay more than they can afford, they might become insolvent. If they pay much less than they can afford, then they would be unable to draw or retain capable a workforce, which would eventually affect the success of the organisation (Deb, 2006:23).

ii) Internal and external equity.

Organisations should pay their employees based on internal equity, which entails employee's qualifications, experience, competences, knowledge, job responsibilities and performance. If employees were not paid according to equity, their morale, commitment and competence would be negatively affected. As such, it is crucial that the organisation upholds a suitable and reasonable variance in the employee's compensation levels pertaining to their position, skill, knowledge and performance

essential for the organisational performance.

Organisations must also pay their employees external equity, which entails compensation equivalent to their competitors' industry criteria, because they would find it impossible to recruit and maintain competent employees if they pay compensation lower than their competitors. If organisations pay more than their competitors, they might attract competent persons, but it would be unlikely that they could continue paying and retaining them (Deb, 2006:23).

iii) Performance orientation.

Compensation should be proportionate to employee and organisational performance. Employees demonstrating improved performance should be paid at upper level to sustain improved performance in order to motivate them to accomplish quality. Performance connection is necessary for generating a performance-focused work culture where every employee eagerly embraces accountability and works with ownership. This can also assist in upholding a sense of fairness and trust in the organisation's leadership (Deb, 2006:23).

iv) Non-discriminatory Practices.

Organisations should pay their employees fairly and not discriminate against them on the basis of race, conviction, sex, nationality and ethnicity, as per the stipulations of the Employment Equity Act No. 55 of 1998 (EEA). Discrimination acts as a deterrent to employee performance and commitment (Deb, 2006:23). According to Lawler and Hundley (2008:09), the Employment Equity Act of (1998) forbids unfair discrimination against employees as well as job seekers on any arbitrary grounds such as race, gender, pregnancy, marital status, sexual orientation, disability, language and religion.

v) Legal compliance.

Organisations should pay according to the stipulations of the labour legislation of the country, for instance, the Labour Relation Act No.66 of 1995. This is a vital aspect of any welfare state committed towards the social fairness and safeguarding of the

rights of employees to at least an acceptable standards of living. Thus, if an organisation is not capable of paying even minimum wages to its employees, it actually does not have the right to operate (Deb, 2006:23).

Lawler and Hundley (2008:09) maintain that Schedule 7 of the Labour Relations Act (1995) considers unfair discrimination, either directly or indirectly, as an outstanding biased labour practice. According to Swanepoel *et al.* (2008:480), the Employment Equity Act has a direct effect on the mutually bargained agreements reached with unions and also limits the freedom of design choices for compensation managers. According to Lawler and Hundley, employers are obliged to take action to end unfair discrimination in employment policies and practices.

vi) Simplicity and flexibility.

Compensation systems should be easy to construct, comprehend and execute. Compensation plans and policies must be adaptable in altering the profiles of the employees, the needs of the individual employees, organisational goals and aims and labour market conditions. This means that compensation management must be strategically aligned to all related practices (Deb, 2006:24).

vii) Fostering employee development

Employees should be encouraged to acquire, refine and improve their talents and competencies simultaneously with the changing technology, innovations and organisational requirements. The increased discrepancy of gaps, in an employee's talents and competencies acts as a stimulus (Deb, 2006:24).

5.6 Performance management.

5.6.1 Introduction.

Sahu (2007:1) defines performance management systems as:

> …the process of performance planning (goal setting), performance monitoring and coaching, measuring (evaluating), individual performance

linked to organisational goals, giving him/her achievements against set performance and required competences, and working out a plan for his/her development.

This is a most vital and essential element for individual and organisational efficiency (Cardy, Leornard, 2011). When performance management is effectively applied, it serves as an influential method for granting overall compensation (Armstrong & Murlis, 2007:19). According to den Hartog *et al.* (2004), designing performance management entails determining what comprises good performance and how various facets of performance can be evaluated.
According to Olalla and Castillo (2002), evaluation centres on the level of utilisation for promotion, the level of feedback of outcomes to the employees and the extent to which employees that perform poorly are assisted to improve their performance.

5.6.2 Processes and Procedures for Performance Management Systems.

The process of performance management should commence long before employees perform and management gives feedback. It should begin with the strategic goals and core values of the organisation. The process should also take into consideration internal and external factors and reach towards obviously distinctive and quantifiable strategic goals, which are then operationalized (Cardy & Leonard, 2011:3; Walburg *et al.*, 2006:30). Cardy and Leonard (2011:13) further state that the most important component of the overall performance management system process is getting the right people into the system by means of recruitment and selection process. Having the right people in the job means superior performance and successfully dealing with performance related issues. On the other hand, having the wrong people in the job makes managing performance much more difficult.
According to Armstrong (2009:64), these processes are mainly concerned with communications between the parties involved. However, they also refer to what employees do regarding monitoring and improving their own performance as well as recording the results of the performance management plans and reviews.

Bussin (2013:21) provides a performance management process which entails five stages outlined as: defining goals, standards and measures; providing ongoing

coaching and feedback; conducting performance appraisals and evaluation discussions; determining performance recognition, rewards or consequences; and conducting annual development and career opportunities through evaluation and discussion. These are discussed below:

5.6.2.1 Step 1: Define goals, standards and measures.

This step involves defining the organisation's objectives and transforming them into departmental and, finally, individual goals. These goals emanate from the mission and vision of the organisation and everyone in the organisation participates in the accomplishment of these goals. Aligning individual goals to organisational goals contributes to the realisation of results. Subsequently to the setting of these goals, employees must also specify different plans that could be employed to realise these goals and how they would be assessed (Bussin, 2013:21,22; Bateman & Snell, 2009).

5.6.2.2 Step 2: Provide ongoing coaching feedback.

This phase entails an ongoing discussion between the manager and the subordinates regarding the employee progress reports. In some organisations, strategies and objectives change rapidly, which may require employees and their managers to change their performance goals to match the changed organisational goals. To stimulate the communication between the manager and the subordinate, it is significant for both of them to regularly discuss the development toward goals throughout the performance cycle to (Bussin, 2013:23).

5.6.2.3 Step 3: Conduct performance appraisals and evaluate discussions.

It is significant for both the manager and the subordinate to hold periodic performance assessments to reduce surprises. This can be done either quarterly, bi-annually or annually. There are numerous methods that are broadly used for assessing performance, but the most general method employs management by objectives method. Both the subordinate and the manager must formulate a clear and detailed plan on how their goals are to be accomplished. The manager must

make sure that the employee has the necessary resources, training and skills to complete the identified goals. The employee is allowed a period of time during which he/she is provided with a chance to execute the plan, and then the accomplishment of goals is evaluated (Bussin, 2013:24).

5.6.2.4 Step 4: Determine performance recognition, rewards or consequences.

The relationship between the performance management system and the reward system is clearly developed. The manager is required to apply what is stipulated by the compensation policy in order to determine a suitable payment that equates the actual performance with approved goals and outputs, after the performance assessment has taken place. Performance payments are provided in the form of merit pay or additional payments like cash bonuses (Bussin, 2013:24).

Nel *et al.* (2011:408-419) state that the performance management process can be split into key activities that, in practice, are inclined to go beyond normal practice. The key groups namely include performance planning, performance coaching and mentoring, performance measurement and evaluation, as well as performance feedback and documentation. These are discussed as follows:

i) Performance planning.

Nel *et al.* (2011:408-419) state that for the performance management process to be as effective as possible, it needs to be sufficiently planned, and this includes the following:

(a) Setting the direction and defining expectation: According to Grobler *et al.* (2006:275), the setting process commences with the development of a wide variety of goals ranging from the organisational goals to departmental goals and ultimately, the employee goals. The supervisor and the employee need to meet and share information concerning the strategic objectives of the organisation and discuss how best they can attain these goals as well as how these goals should be agreed upon, and adjusted by both the department and the individual (Nel *et al*., 2011:408-419).

(b) Establishing employee goals and objectives: Departmental goals should be modified and linked to employee goals in order to encourage some aspects of intrinsic inspiration (Nel *et al.,* 2011: 408-419). The employee's goal-setting is equally set by the employee and his/her supervisor (Grobler *et al.,* 2006: 275).

(c) Determining the assessor and the assessment technique to be employed: The assessor needs to be determined, as well as the nature of the assessment process, at some point in the planning phase. An agreement should be reached regarding the foundation upon which performance will be evaluated, and the verification that will be employed to determine levels of proficiency. These should be shared in advance with the employee (Nel *et al.,* 2011:408-419).

(d) Developing an action plan: According to Grobler *et al.* (2006:276), the action plan states how these goals are to be accomplished. The manager and employee must agree on particular occasions for official verifications to be made regarding developments towards meeting the alleged goals**.** They should also agree on the kind of value that will be added if the goals are attained. Both parties should draft a document containing all major key points of what was discussed and agreed upon, outlining their different roles and responsibilities concerning the attainment of these shared goals. Both the manager and the employee should sign this written document, which should be used when checking the progress made towards meeting the goals, and this could be used as a point of reference (Nel *et al.,* 2011:408-419).

ii) Performance coaching and mentoring.

The manager conducts short-term checks on the progress, investigates the causes of poor performance and provides the employee with coaching and mentoring during this phase (Nel *et al.,* 2011:408-419). These include:

(a) Conducting interim checks on progress: A smart manager involves the employees as frequently as possible, in an unofficial manner, to monitor and get feedback concerning the level of their performance**.** It is critical that the performance problems are recognised as early as possible to employ corrective measures prior to

the problem getting out of control. Short-term unofficial performance reviews are much more essential than annual performance reviews (Nel *et al.,* 2011:408-419).

(b) Investigating causes of poor performance: The aspiration to evade clashes may result in a manager spending more time and energy trying to minimize the problem rather than rectifying the problem. This is particularly common in situations where an employee is not performing to the required standard. As a result, the problem is not resolved and the employee's performance is not improved. The manager employs coaching abilities to assist the employee in improving, provides guidance on changing performance, and ensures success towards the attainment of goals and adding value (Nel *et al.,* 2011:408-419).

iii) Performance measurement and evaluation.

Performance measurement and evaluation are discussed in detail below.

(a) Measuring performance: Employee performance can be measured based on whether the kind of judgment employed requires a comparative evaluation, meaning that the employee's performance is evaluated in comparison to other employees doing similar jobs, or complete evaluation, meaning that the employee's performance is evaluated entirely on performance standards (Nel *et al.,* 2011: 408-419). Performance evaluation is fundamentally concerned with deciding on how well employees are performing their allocated duties and tasks, and it is often employed as a device for detecting candidates for advancement or salary increments (Caruth *et al*., 2009:10). It is also utilised by the performance management system to manage an employee's career, established performance goals, to fortify and compensate good performance and to provide timely feedback to each employee on their performance (Evans, 2013:377).
Caruth *et al.* (2009:10) further state that performance evaluation is an essential component of the selection process for two reasons: Firstly, it is the means by which employees are most frequently promoted to jobs of advanced duties, and secondly, it offers feedback information that can be utilised to assess the efficiency of recruitment and selection activities, approaches, and procedures. The process entails phases of observing and evaluating employee performance, recording the

assessment and providing feedback to the employee. Competent managers provide feedback and commendation concerning the satisfactory requirements of the employee's performance during performance appraisals. They also describe performance areas that need improvement (Daft & Marcic, 2012:351).

(b) With regard to complete judgment, the feedback may be more detailed and useful to the employees since ratings are based on the separate scope of performance. Such rating methods have their own shortcomings, which include employees from the same category getting similar evaluation if the manager is uncertain about the employee, and if managers have different evaluation standards (Nel, *et al.,* 2004, 477).

(c) The aim of performance measurement and evaluation: There are two points of view that could be adopted when an employee's performance is evaluated, namely, the reasonable perspective and the political perspective**.** The reasonable perspective believes that the value of each employee's performance could be predicted, while the political perspective believes that the value of an employee's performance rests on the agenda or goals of the manager. The political perspective assumes that performance assessment is a goal-driven activity and that the goals are hardly correct (Nel, *et al.,* 2011:408-419; Nel *et al.,* 2004:478).

(d) Methods of performance evaluation: The achievement of performance evaluation rests on two aspects, namely, employees selected to perform the evaluation, and the procedure selected to measure the performance (Nel, *et al*., 2011:408-419; Nel *et al.,* 2004:478). Chai, (2009:42) maintains that the method of performance evaluation aims at comparing the results with the predetermined objectives to make a decision on the level of goal accomplishment. This type of evaluation is a sensible method to detect goal realisation efficiently and effectively, especially, when the objectives can replicate the mission of organisations appropriately and holistically. To have an effective performance evaluation system requires that the criteria used for evaluating employee performance should be job-related, applicable, have values and employ reliable methods (Sommerville, 2007:240). Kleynhans *et al.* (2009:162) also maintain that that the criteria employed should be job-related, and could be drawn up by employing job analysis. If the

criteria is ambiguous and not job-related, and management may end up charged with unfair discrimination (Bohlander & Snell, 2007:144). Durai (2010: 294) also maintains that a faulty evaluation may be detrimental to the oganisation.

(e) Determining the evaluator: the primary requirement for any rater is that an appropriate opportunity is presented to ensure that performance is observed over a realistic period of time. This offers numerous options for raters (Nel, *et al*., 2011:408-419; Cascio, 2010:347; Nel *et al*., 2004, 478).

(f) The immediate supervisor: The manager is in the best situation to monitor the employee's performance, to establish whether the employee has achieved the specified goals and objectives and to establishing whether he/she is an appropriate person to conduct the appraisal (Grobler *et al.,* 2006:279). He/she is certainly the most familiar with the employee's performance and has the best chance to watch the real job performance on a daily basis. The only shortfall here is that he/she may be too compassionate in evaluating an employee in an attempt to please him/her (Nel *et al*., 2011:408-419; Cascio, 2010:348; Nel *et al*., 2004:478). According to Robins Odendaal and Roodt (2007:362), some managers may feel that they are not qualified to evaluate the exceptional contributions of each of their subordinates and some may dislike it. Moreover, since many current organisations are employing self-managed teams, telecommuting, and other organising procedures that places a distance between superiors and their employees, these superiors may not be a dependable evaluator of an employee's performance.

(g) Peers: According to Grobler *et al.* (2006:279), peers may be in an excellent situation to evaluate a co-worker's performance. Logistics prevent the direct manager from rating some jobs like outside sales, law enforcement, and teaching. Even if objective criteria could be employed in these instances, the opinion of peers generally presents a viewpoint on performance that differs from that of a direct manager. Peers may present a viewpoint on performance that is diverse from that of immediate supervisors. Hence, a member of a cross-functional team may be in a better situation to rate another team member than that team member's manager. Nevertheless, the possibility of friends' partiality to twist the feedback value of the presented information is always present and it is critical to state precisely what the

peers are to evaluate. No matter how well the peer reviews are done, it is best to consider them as a component of a system that includes input from other raters as well (Nel, *et al*., 2011:408-419; Cascio, 2010:348; Nel *et al*., 2004:478). According to Robbins *et al.* (2007:362), the average of numerous ratings is usually more trustworthy than a single evaluation.

(h) Subordinates: Since employees are conversant with the manner in which their manager does his work, the reverse appraisals could serve as helpful input to the development of their manager. Substantial conviction and honesty are fundamental if employees' appraisal is to be significant. This type of appraisal could be suitable for a large organisation in which a manager may has a large number of employees working under him and the confidentiality of the process is guaranteed (Nel, *et al.,* 2011:408-419; Cascio, 2010:348; Nel *et al*., 2004:479).

(i) Self-appraisal: This is inclined to be more compassionate, less inconsistent, more prejudiced and perhaps more suitable for counselling and development rather than for employment decisions (Nel *et al.,* 2011:408-419; Cascio, 2010:349; Nel *et al.*, 2004:479). Employees normally give themselves high marks for self-appraisals. This method of evaluation is likely to reduce employees' defensiveness regarding the appraisal process, and they make an exceptional device for encouraging job performance discussions between employees and their managers. They are found to be the second most general choice for evaluating performance, following an employee's supervisor (Robbins, *et al*., 2007:362).

(j) Customer appraisals: On numerous occasions, an individual's internal clientele, or the organisation's external clientele can give an exclusive point of view on job performance in the form of customer appraisals. Nevertheless, the client's aims cannot be expected to match completely with those of the individual or the organisation in question (Nel *et al.*, 2011:408-419; Cascio, 2010:349; Nel *et al.,* 2004:479).

(k) 360 degree feedback: With 360 degree feedback, a questionnaire is given to the employee's managers, his/her subordinates and peers in which they are asked to respond to questions as to how well a specific individual performs in a number of

behavioural areas. Customers and suppliers are also involved as raters in some cases. A report is then produced from the feedback of the participants that shows real ratings given for each question, as well as the average response per question for each competency. This presents a more even-handed point of view of the employee's overall performance (Nel*, et al*., 2011:408-419; Cascio, 2010:351; *Nel et al*., 2004:479).

(l) Team appraisals: Team appraisals require a combination of two approaches: an assessment of how well each member adds to the team, and an assessment of how well the team achieves its goals**.** The focal point of team appraisals is generally developmental. Team performance is generally assessed against particular team objectives (Nel, *et al*., 2011:408-419; Cascio, 2010:354; Nel *et al*., 2004:480).

(m) Rating the performance: The organisation needs to consider which performance appraisal technique is most appropriate for providing valid and sensible performance team objectives when collecting performance data (Nel *et al*., 2011:408-419).

(n) Rater errors: According to Cascio (2010:355), raters' recollections are fairly imperfect, and raters subscribe to their own sets of likes, dislikes and expectations about people. These expectations may or may not be legitimate. Nel *et al*., (2004:483) also argue that performance evaluations are loaded with danger, mostly due to the implementation of numerous human agendas. Managers unconsciously act like God, and employees can be excessively confident with the knowledge that increases, career advancement and tranquility may depend on how they are rated. Grobler (2006:277) states that trained managers and other raters should familiarise themselves with these rating problems as well as reduce them by learning to prevent committing them.

vi) Performance feedback and documentation.

(a) Providing performance feedback: Managers should ensure that the performance appraisal is both evaluative and developmental. Should the results indicate that performance goals have been met, they should not hold long discussions with the employees, except for the commendation that must go with

these achievements (Nel *et al.,* 2011:408-419). According to Polakos (2009:112), this feedback is mostly helpful for learning.

(b) Scheduling the feedback interview: The performance management system structure must provide guidelines for the preparation of the feedback interview. However, if the system is cyclical, the official feedback must take place at least twice a year. Constant feedback is recommended even if it is mostly on an unofficial basis (Nel *et al.,* 2011:408-419).

(c) Problems with the performance management interview: Some managers find performance management interviews to be very distressing; hence they devise means of avoiding them, even though they may be required by policy. In some instances, they are carried out in a regular manner and their value is highly questionable (Nel et al., 2011:408-419).

(d) Recording and communicating performance results: government legislation namely, the Labour Relations Act no. 55 of 1995, provides for the rights of all employees to fair labour practices. It is imperative that management and those involved in performance management programmes, should take these rights into account when designing, developing, and implementing these programmes (Nel *et al.*, 2011:408-419).

(e) The outcome of performance must be properly recorded and communicated to the HRM department in order to use them in cases of promotions, personal development, and career planning (Nel *et al.,* 2011: 408-419).

5.6.3 Factors that Impact on Performance Management Systems.

There are various factors that impact on performance management systems, which are grouped into various categories including distal, proximal, intervening, judgment, and distortion factors. Distal factors refer somewhat to the national level, such as economy, work culture, labour systems or technological infrastructure, but also entail organisational variables like organisational strategy and performance. Distal factors are permanent and act as boundaries for organisational action that, in turn, affect

performance judgment. Proximal factors originate from an organisation's expectations for managing performance. Together with organisational standards and determination, proximal factors influence performance evaluation management line matters, which emanate from rater-ratee relationships. Judgment factors comprise the perceptive characteristics of raters judging employee performance. Finally, distortion factors refer to the characteristics of the situation that modify a rater's evaluation due, for example, to organisational compensation systems or the results of the appraisal for employee (Varma *et al.,* 2008:116).

5.6.3.1 External factors.

External factors encompass all of the influences outside of the organisational operations that can impinge on performance management (Hawke, 2012). Performance management systems are influenced by the national environment. This includes institutional, economic, political, legal and social factors, all of which impact on the development and design of the organisational systems (Varma *et al.,* 2008:248).

i) Economic factors.

Economic factors have an influence on HRM practices. Verweire and Berghe (2005:86) maintain that performance is also affected by other factors like common economic conditions or unforeseen economic shocks. For instance, a study revealed that organisations that connected financial rewards mainly to the performance evaluation system, inhibited reward during economic turnarounds. As a result, employees developed negative perceptions, doubting the objective of evaluation during these periods. Some organisations even used performance appraisals to downsize and increase efficiency (Varma *et al.,* 2008:117). Another study also revealed that the challenging economic conditions added pressure to maintain measures to improve the efficiency and cost-effectiveness of the public sector in Australia during the period of election and application. The effect resulted in regular improvements and changes (Hawke, 2012).

ii) Legal compliance

Mello (2014:441) maintains that the aim of performance management systems is to expedite compliance. According to Storey *et al*. (2009:175,76), HR experts need to familiarise themselves with the legal issues that have an impact, and protect the human resources within the organisation to ensure its success. These include:

- Employees rights to work free from discrimination with regard to gender, race, denomination, sexual orientation, ethnicity age or disability.
- Legal rights of employees in relation to testing, evaluation, discipline, remunaration, and confidentiality, and
- Legal matters that impact on labour relations.

Reis (2010:86) maintains that performance management systems contribute to labour law compliance since they indicate that there are discussions taking place before and during disciplinary actions. According to Varma *et al.(*2008:151), the labour legislation in France provides flexibility to assess and evaluate the performance of employees as long as the basic principles of excellence and non-discrimination are respected. This is in contrast to the German legal system, which is highly controlled.

iii) Technological factors.

Technology employed in a workplace can naturally impact on performance. For instance, there will certainly be restrictions on performance levels if an organisation has used obsolete labor-intensive systems or tools. Equally, the layout of a workplace can influence performance by making material and phases in the process more or less effective. Factors like the employee actually performing the task, technology, and workplace layout may have a more direct impact on performance than system features. However, the types of systems can influence performance through their impact on the commitment and inspiration levels of employees (Cardy, & Leonard, 2011:217).

According to Varma *et al.* (2008:120), technology can impact on performance management in the sense that the information produced from performance evaluation, could be computed without schedule limitations, while permitting the concurrent usage of numerous-sources of evaluations. This information could be

simply matched to the employee's salary. Managers and employees could prevent the conflict of a feedback interview by employing information technology. Burkholder *et al.* (2007:73) also maintain that technology impacts on the performance and occupation of the individual. For example, prior to the introduction, some functions may have required several employees to complete the product or service, but, with the introduction of computers, this can be executed by a single person.

5.6.3.2 Internal Factors.

Internal factors include the mission and strategies, or ganisational structure and HRM (Prowse & Prowse, 2010). Internal work conditions could affect employee performance, thus, should be considered in the performance management process. Internal factors comprise the organisation size and resources, organisation structure, organisation culture and management (Vance & Paik, 2011:296). Cooke (2012:72) also maintains that the size, ownership and nature of the organisation has an impact on performance management system. As a case in point, a study conducted in China's IT industry revealed that smaller organisations were inclined to concentrate on individuals' quality and capability in their appraisal system, including the approach, work concentration, moral honesty and position while neglecting the assessment of team performance or the quality of customer services. Condrey (2010:333) also asserts that performance management in small organisations with a power culture has an orientation different from performance management in larger organisations with a role culture. This is because individual effectiveness in smaller organisations is assessed by measurable outcomes, whereas it is often measured by compliance with the laws in larger organisations.

i) Cultural factors.

Axson (2010:80) states that culture is all-inclusive of all values, actions, and beliefs that direct the daily activities of employees within the organisation. It is defined by the vision, mission and value statements of the organisation. Cultural factors comprise methods of functioning and essential standards in the system, as well as organisational activities and societal cultures (Hawke, 2012). The organisational culture in Mexico classifies leadership style with particular characteristics, such as

compassionate authoritarianism in which a supervisor has a personal responsibility to protect subordinates and, often protects the personal needs of employees and their families. This style has been found to create reliant behaviours in subordinates and, as a result decreases their decision-making ability at work. It also inhibits subordinates from clashing with a superior in public. Cultural norms preserve social differentiation between supervisors and subordinates, yet it endangers hierarchical communication, which is vital to effective performance evaluation. The cultural sensitivity of the performance evaluation process is vital for all the players involved. The manner in which managers and subordinates respond to authority and equally depend on communal relationships, is crucial for assenting to the evaluation and contributes to preserving trustworthiness (Varma *et al.,* 2008:118).

Varma *et al.* (2008:118) further state that studies revealed that performance evaluation systems in Mexico were employed by organisations as a medium for employee communication rather than for compensation adjustment. The evaluation of a performance feedback interview permits subordinates' communication within a high-authority distance because it is a social space where managers and subordinates can participate in social exchanges related to performance.

Organisational culture is regarded as possibly capable of posessing more unifying influence on employee behaviour and work performance than a more diverse national culture (Vance & Paik, 2011:296). Baird *et al.* (2012) contend that organisational culture is a variable that may influence the effectiveness of a performance management system. Culture affects the manner in which performance management is organised as well as the degree to which it is applied (Moynihan, 2008; De Bruijn, 2007). According to de Lancer Julnes (2009:170), organisations should have a culture that accepts change and disciplines obvious failures in order for performance evaluation information to be utilised in a way it is envisaged. Vance and Paik (2011:296) further maintain that the local culture also has a strong and pervasive impact in many stages of the performance management process.

ii) Labour relations.

Labour relations are also one of the factors that impacts on performance management systems. Blyton *et al.* (2008) maintain that a study revealed that as employers pulled out of the labour agreement, they were likely to rearrange their

internal compensation adjustment activities along product market lines, so that compensation could be allied more directly to the performance of particular departments, whether profit centers, divisions, or establishments. Another study also revealed that labour legislations in Mexico, with regard to the usage of performance evaluation, obliged employers to allocate a proportion of annual profits among all employees. This compensation was flexible and based on annual profitability, provided that there was an institutionalized connection between individual and organisational performance. The concern for most senior managers was just how to link individual evaluation tools with this annual profit sharing. Consequences for inadequate performance could entail no salary increments or even dismissal. As a result of high costs, organisations avoided firing employees for low performance (Varma *et al.,* 2008:119). According to Paauwe (2004:175), labour relations in the US are defined by the distance between the manager and his immediate subordinates in relation to power. As a result, widespread discretionary powers for managers with regard to performance assessment, level of pay and discipline, appear to have generated a climate of fear in the place of work.

Varma *et al.* (2008:152,153) further maintain that the labour relations in France, like the US, are also defined by the distance between the managers and subordinates, and appreciation and assessment of performance is also influenced by this. The French organisations dispose of evaluation schemes with official annual interviews and assessments. The results have an influence on compensation and other benefits of the assessed individual. However, the manner in which the process of evaluation is finally executed seems to show the difference between officially commended performance management systems and processes and reality in French organisations. It could be concluded, based on these authors, that labour relations have a tremendous impact on the performance management systems of numerous organisations.

iii) Organisational strategy.

Aswathappa (2010:651) maintains that performance management is an important component of an organisation’s strategy, since it assists in numerous goals of an organisation. In addition to contributing to improved performance, it assists in discovering employees with above-average capabilities; supports reward

performance impartially as well as defining employee's developmental needs. The organisation strategy also defines the nature of performance as well as how good performance is described (Wilton, 2011:187). According to Thorpe and Holloway (2008:27), a strategy goes beyond a statement of anticipated results whether articulated in relation to the mission, goals or objectives. It is fundamentally a plan of activities to accomplish those results. It is therefore, obvious that performance cannot be managed unless there is an agreement on the plans the organisation is anticipating executing, as well as the preferred outcomes of those plans.

Axson (2010:76) also maintains that strategic planning provides the foundation for all successive planning, reporting, and predicting actions. Aswathappa (2010:651) further asserts that the principles of an organisation's performance management systems are shaped by the strategic direction of the business unit. Wilton (2011:188) also maintains that the performance management systems provide an integrative structure of HRM policies and practices that permit the organisation to clearly link the organisation's strategic goals with its employees' efforts, and to outline the work activities and individual or team objectives according to these goals.

iv) Organisational structure.

The organisational structure can significantly influence performance management and other HRM policies and practices since they are a key device for implementing strategy. Taking regionalised multinational corporations as an example; they would naturally employ differing policies concerning performance management throughout the multinational corporations, probably resulting in varying performance management forms and practices at different operations in foreign countries. In some organisational structures like matrix organisations or global joint ventures, skilled employees and senior managers might have various reporting relationships affecting their performance (Vance & Paik, (2011:296). According to Durai (2010:57), the organisational structure has a crucial influence on the HRM practices in the sense that it assists in the classification and grouping of jobs within the organisation. This classification also assists in the development of the recruitment process for each position. Likewise, the structure assists in defining the number of employees under each manager. Many of the HRM practices like training, compensation management, recruitment and selection need to be taken into consideration in the

context of the related organisational structure.

v) Organisational policies.

De Lancer Julnes (2008:164) maintains that organisational policies may reveal an honest aspiration to drive an organisation toward a culture of managing outcomes, where performance-based management is the regulation rather than the exception. These policies guide performance evaluation. According to Vance and Paik (2011:296), large organisations are inclined to have more specialised resources and HRM policies as well as guidelines that can more efficiently support the worldwide performance management plan. A study involving ten small, medium and large organisations, in both manufacturing and service segments, revealed that HR policies have an influence on performance management (Bourne & Bourne, 2011:136).

5.6.4 Effective Performance Management Systems.

Performance management systems need the involvement of top management as well as every manager within the organisation, to ensure its effectiveness. It is very crucial that the following elements should be integrated into the organisational approach (Sahu. 2007: 25):

- Top management's commitment should be strongly dedicated to the performance management system. This can be achieved by regularly discussing, employee performance, formally or informally, with employees at all levels. It is important to ensure that performance management is the key performance area of managers, and also to constantly check the manner in which the system is carried out as well as the quality of the reviews (Sahu: 2007: 25).

- There should be a high level of employee involvement, especially in the process of setting goals for their future performance (Sahu: 2007: 25).

- The organisation should provide managers, who would be involved with the implementation of the system, with sufficient training. It is important not to forget the

training of those who would be reviewed through using a short workshop that will enable employees to discuss the system and develop skills that would be required by the system (Sahu: 2007:25). According to Chamberlain (2011), in order for performance management systems to be effective, it requires top management as well as all other levels of management, to have the necessary knowledge, skills and motivation to appropriately execute it (Chamberlain, 2011).

- There should be uniformity in the application of performance management to avoid dissatisfaction among employees (Sahu: 2007:25).

- Line managers should be strongly dedicated to the habitual appreciation of good performance. They need to regularly compliment employees who perform well so that they may benefit from motivated employees (Sahu: 2007:25).

- The results from performance reviews should be consistent with the reward systems meaning that, it should also be revealed in his salary, if the employees' performance is outstanding (Sahu: 2007: 25).

Nel *et al.* (2004: 477) outlines four characteristics that are commonly shared by managers who manage performance effectively as follows:

- They investigate the source of performance problems.
- They focus attention on the source of the problems.
- They formulate an action plan and empower employees to reach a solution.
- They focus communication on performance and stress non-threatening communication.

5.6.5 The Relationship between Performance Management Evaluation and Training.

Some studies have revealed that there is a positive relationship between training and the effectiveness of performance management systems. For instance, training was found to be a significant factor in the effectiveness of performance management systems. In order for managers to effectively implement performance management system, they need to undergo an appropriate performance management systems

training, which will enable them to understand its processes and objectives, as well as make informed decisions. Similarly, employees need to understand the processes and objectives of performance management systems. This improved understanding of the performance management systems increases the possibility of employees and managers to commit to the system and realise desired organisational results (Emerson, 2009; Chan, 2004).

According to Durai (2010:272), performance evaluation can pinpoint the employee's training needs. Training and development improves performance and is more concerned about managing performance within the organisation (Saks *et al.,* (2011:5). Cavalluzzo and Ittner (2004) found that performance measurement improvement and results are positively linked to the degree of associated training provided. The provision of associated training points to the organisations' enthusiasm to resource support for the development and implementation of performance management systems.

5.7 Training and development.

5.7.1 Introduction

Ghosh *et al.* (2011:247) provide a simple definition of training as: "an activity that changes people's behavior". It is aimed at enhancing the proficiency of trainees in a specific area (Werner & DeSimone, 2011:168).

Training needs to equip an employee with the necessary expertise to perform the job. Training and development is also regarded to be an effective device to be utilised by organisations for recruitment and increasing their attractiveness to prospective employees who consider their career progression more significant than salary, as well as retaining their existing employees (Saks *et al.*, 2011:8). Meaning that the training and development function could assists the organisation in changing the employee behavior, and in turn, contributes to the improvement of employee performance, as well as assisting employees to realise the organisational goals.

According to Dreher and Dougherty (2002), it also contributes toward an on-going organisational development. Various studies have revealed that training provided both employees and employers with benefits, especially if it is job-related (Fajana *et al.*, 2011; Ballot *et al*., 2006).

Paul and Anantharaman (2003) stated that training has a direct influence on employee productivity, product quality, speed of delivery, as well as operating costs. Based on the afore-mentioned, it is obvious that there is a correlation between organisational success and skilled employees.

5.7.2 People responsible for training.

There are a number of people who are involved in the training process. *Erasmus et al.* (2009:38) list them as follows:

5.7.2.1 Manager

The manager presents guidance and direction to the organisation concerning training activities by applying, planning, organising, leadership and managing to ensure the best possible utilisation of resources in order to attain the organisational objectives. Although the human resource training practitioners are involved in training, it is the manager's responsibility to ensure that his employees are trained. He/she must show interest in his/her employee's careers and also provide them with the opportunities for growth and development in their jobs (Erasmus *et al.,* 2009: 38). Rao (2008:248) maintains that a manager should specify the needs of his subordinates, coordinate their efforts, allocate responsibilities according to the skills and qualities of his subordinates and also properly control their functions.

5.7.2.2 Consultant

According to Erasmus *et al.* (2009:38), again, the consultant should assist with the employees' performance problems by responding to their feelings, especially when these feelings are recognised as potential problems. The consultant must also provide suitable and helpful solutions to these problems and provide professionals with the suitable expertise to solve these problems. The most important role of the training professional is to create learning experiences, which should be incorporated into the training programmes, to ensure that the learning process is more effective. He must also be able to recognise typical organisational problems and generate effective learning experiences to deal with them. Rao (2008:247) maintains that the

consultant provides advice on the production of training and development schemes, the design of training and development programmes, course material selection to justify the objectives of the organisation, and also sees that the deficiencies of human resources are removed. He also provides a bridge between the learning theories and methodology for a given target.

5.7.2.3 Trainer

The trainer's responsibility is to ensure that the learning content is presented to its targeted group and to facilitate its transfer. This is aimed at the questioning and listening skills, and giving feedback to students as well as constructive reinforcement during the learning process (Erasmus *et al.,* 2009: 38). According to Rao (2008:248), the trainer's responsibility is to enrich and broaden his role as well as his knowledge and skills to match the changing technology and social culture.

5.7.2.4 Evaluator

The effect of training on organisational success needs to be assessed. Mechanisms that show all aspects of performance improvement must be developed and used. The minimum requirement in this case would be the assessment of the Human Resource Development performance against corporate strategic goals and functional plans on an annual basis (Erasmus *et al*., 2009:39).

5.7.2.5 Marketer

The marketer's vital responsibility is to promote training programmes to the organisation's top management as well as target groups. The training's worth for personal development and organisational success must be stressed to the customers (Erasmus *et al.,* 2009: 39).

5.7.2.6 Strategic Facilitator

The role of a strategic facilitator is to develop long-term human resource plans and to achieve the training and development tasks of the organisation. This is critical to the

success of the organisation. The facilitator also needs to align human resource development activities with the corporate strategy and the human resource management strategy (Erasmus *et al*., 2009:39).

Aswathappa (2005:207) states that these training methods can be classified into two categories, namely, on-the-job and off-the-job training. The first one refers to training done in a work environment and the latter refers to training done away from the work environment.

5.7.3 Training Techniques.

According to Werner and DeSimone (2011:168), it is often useful to think about the trainee's level of skills and knowledge when considering training techniques to use. There are a large number of training techniques employed to train employees. These include lectures, films, audio-cassettes, case studies, role-playing, video-tapes and simulations (Aswathappa, 2005:207).

These training techniques as discussed by Aamodt (2007) can be summed up as follows:

5.7.3.1 Lectures

Lectures convey identical information to a large group of individuals in a limited space of time. This is a most frequently used technique, but is not effective in training behaviors or learning skills (Aamodt, 2007). Rao (2008:236) argues that lectures are the best method to present and explain sequences of facts, concepts and principles, and that the main use of lectures is that they are straight forward and can be utilised for a larger group of trainees. They also present a summary and scope of the subject clearly, while presenting the leaders, notions, policies and experiences in the shortest time.

5.7.3.2 Discussions

Discussions are arranged conversations between learners and facilitators. They

enable one to get instant feedback on an input, which creates a higher rate of inspiration and improved involvement from trainees (Aamodt, 2007). According to Wilson (2005:334), this technique allows for the free exchange of information as well as opinions. If controlled, it may follow a planned route in which the leader is controlling the agenda. The discussions may reflect members' priorities.

5.7.3.3 Case studies

Case studies are written accounts of organisational problems that could be scrutinized by a group or an individual. Proposals are submitted for further discussion in the larger group (Aamodt, 2007). According to Rao (2008:234), they are prepared on the basis of actual business situations that have happened in numerous organisations. Trainees are asked to detect the obvious and hidden problems for which they have to suggest solutions.

5.7.3.4 Role-play

Role-playing allows learners to recreate organisational problems and then hold discussions about them. This method enables them to learn how to communicate amongst themselves, manage conflict, interview, evaluate performance and be assertive (Aamodt, 2007). According to Rao (2008:234), trainees are asked to assume the role of a particular person in the situation. They interact with other participants assuming different roles. This technique provides the participants with indirect experiences, which are of much use to understand. It also teaches human relation skills via actual practice.

5.7.3.5 Management games.

Management games are recreational exercises that imitate real organisational conditions. The players contend amongst themselves, making decisions regarding planning, organising, financial matters, production and managing the imaginary organisation (Aamodt, 2007). According to Randhawa (2007:125), these games involve teams of trainees who discuss and analyse the problems and arrive at decisions.

5.7.3.6 In-basket exercises.

In-basket exercises equip trainees with problem-solving skills. The trainee is provided with an in-basket filled with the usual problems that a manager should be able to solve, and the trainee must make an urgent decision on how to solve the problems (Aamodt, 2007). Randhawa (2007:25) also maintains that trainees are provided with background information on a simulated organisation and its products and main personnel. They are then furnished with an in-basket of documentation related to the organisation. The trainee must make sense out of these documents, make notes and delegate tasks within a limited space of time.

5.7.3.7 Demonstration

Demonstrations really show how to perform a detailed duty. According to Clark (2010:228), the trainer might demonstrate how to perform a particular task and then ask the trainee to perform the same task. The most sophisticated method is to commence with a complete demonstration and then move to a half-finished demonstration in which the instructor completes the first solution steps and the trainee finishes it. This should ideally end with a full problem assignment that the trainee solves on his/her own.

5.4.7.5 Technology-based methods.

These entail computer-based methods, web-based training, e-learning, interactive multimedia and virtual reality training (Grobler *et al*., 2006).

5.7.4 Training process.

Training involves a number of different stages that are closely linked to each other. These are discussed below (Kleynhans *et al*., 2006: 119-127):

5.7.4.1 Step 1: Assessing training needs.

During this stage, particular training is needed to improve job performance. The

causes for training should be examined, and the necessary training has to be planned to meet the needs (Eramus *et al.,* 2009:15). Employees are provided with training whenever there is a necessity to improve organisational performance. This could be triggered by the introduction of a new technology that necessitates the training of employees. It could also be that employees do not possess enough skills to perform the job. The evaluation of training needs takes place prior to the presentation of training. This evaluation will indicate whether there is a discrepancy between the required level of performance and the actual performance. If there is, the evaluation should determine the reason why there is a gap. Should the reason be that the employee lacks the necessary skills to perform the job, and then training is required. However, if the gap is caused by other reasons, then other forms of solution could be applied. Besides the employee training needs assessment, there is also an organisational needs assessment, which entails looking at the entire organisation. The aim of this assessment is to establish whether there are key problem areas that may necessitate training, such as low productivity or high labour costs (Nel, *et al*., 2008: 54; Kleynhans *et al*., 2006:119).

5.7.4.2 Step 2: Identifying outcomes

This phase involves the writing of learning outcomes, which describe the competencies that the trainee should achieve during training. These outcomes are grouped into three categories, namely: outcome behavior, performance conditions and performance standards. The first category describes what the employee will be able to do upon completion of the training programme. The second group describes the circumstances under which the outcome behaviour is anticipated to take place. The third category states the necessary standard of performance that should be exhibited by the employee after the training programme (Kleynhans *et al*., 2006:122, 123). These objectives or outcomes can be used to channel the trainer through the process of selecting a training approach to meet the aims of the training programme (Erasmus *et al.,* (2009:16).

5.7.4.3 Step 3: Selecting a training approach.

This stage involves the real development of a training approach. After the analysis of

training needs and the employees who need training have been identified, the following decisions should be taken (Erasmus *et al*., 2009:16):

- The training techniques to be used.
- The time acceptable for training.
- The number of trainees to trained at a time.
- Whether training will take place during office hours or after.
- Whether training would be done on the work premises or outside the work premises.

If on-the-job training is an option, the training techniques that could be adopted include coaching, job rotation and learnership training. With regard to coaching, this may be undertaken by either a co-worker or a manager who will assist the employee on a one-on-one basis, to develop proficiencies, as well as give constant feedback on the employee's progress. Job rotation involves the transfer of an employee from one job to the other on an organised basis, and these assignments can last between two to six months. This approach provides an employee with a new approach, new challenges and also keeps them interested. Furthermore, it enables the trainees to speedily achieve practical experience. Learnership training connects theoretical training, which is normally done away from the job, with the practical training of work experience (Kleynhans *et al.,* (2006: 126).

With regard to outside the work premises, training techniques include lectures, case studies, role-play and adventure learning. Kleynhans *et al.* (2006:127) further assert that lecture takes place when a trainer teaches the trainee on the material to be learnt. It is a one-sided technique that involves a trainer presenting information to a large group of people. In fact, this method does not provide the trainer with an opportunity to interact and assume an active part in the learning process. The advantage of this method is its elasticity and cost effectiveness. Case studies allow trainees to study and scrutinize an imaginary written account of an organisational problem that entails aspects of real-life circumstances. With regard to role-playing, learners perform a particular role in which they apply theory rather than concept about it. The advantage of this technique is that learners are persuaded to take an active part and they make remarks once the role-play is finished. In the case of adventure learning, trainees are taught how to work together as a team and

demonstrate leadership skills by taking part in challenging, orgarnised outdoor activities. This is not appropriate for every situation.

5.7.4.4 Step 4: Conducting the actual training.

According to Erasmus *et al*. (2009:16), this stage involves the delivery of training to the intended group. All the stages of the training programme unite during the execution phase after the training technique has been chosen. The HRM professionals must design training materials, as well as methods to employ in the programme, bearing in mind the traits and needs of the learners. The actual training takes place after the selection of a suitable training environment (Kleynhans *et al*., 2006:127).

5.7.4.5 Step 5: The evaluation phase.

It usually happens sometimes that even when a training programme has been planned with great care and effectively delivered, that the learning outcomes have little or no effect on what was intended. This is why evaluation plays a big role in determining whether the training and development has met the intended learning outcomes (William, 2011). The evaluation of any training program should indicate whether the training programme has been able to achieve its objectives in relation to the cost incurred, as well as, the benefits achieved (Farjad, 2012). This evaluation takes place once training has been conducted to check its effectiveness, and that the learners actually achieved the required proficiency, information or performance. The reason for evaluating the effects of training is because it costs huge sums of money, time and effort. One of the strategies that could be employed, in this case, is Kirpatrick's model of evaluating training effectiveness, which evaluates the participant's reaction, what he/she has learned, whether there is any changes in his/her behavior, as well as its effect on the organisation's effectiveness (Erasmus *et al.,* 2009: 16; Kleynhans *et al.,* 2006:127, 128). Another model is Nadler's critical events model. Both these models are discussed as follows:

i) Kirkpatrick's model of the evaluation of training.

Kirkpatrick's model has currently been found to be the most prominent framework for evaluating training programmes, and that most of the models used currently are revised versions of this model (Rajeev, *et al.,* 2009; Bates, 2004). This three-step evaluation model is a mixture of formative and summative approaches using numerous techniques. This model measures the reaction, perceptions, learning and behavioural components of the trainees, linking quantitative and qualitative instruments and objectives at evaluating the effectiveness of the course in providing a sufficient learning climate (Rejeev, *et al.,* 2009). According to Andrade and Cizek (2010:3) summative assessment is administered at the conclusion of some unit instruction, whereas formative assessment is administered midway, in the course of some unit of instruction. The reason for this is to give feedback during training, to allow for some adjustments to be implemented whenever necessary, in order to improve the learner achievement (Melmer *et al*., 2008).

(a) Phase 1: Reactions.

This phase comprises data collection of the learner reactions after the training programme has been conducted, and measures their perception of the programme (Rajeev, *et al*., 2009). Farjad (2012) also maintains that this is the level in which the learner reactions are believed to mean the way in which they perceive and personally evaluate the significance and quality of the training. He further states that to improve a training programme, every programme should be evaluated at this level. The evaluation at this level would measure the satisfaction of the people who attended training.

(b) Phase 2: Learning.

Learning is described by Farjad (2012) as the degree to which participants' attitudes change, and their knowledge is enhanced and skills developed as a result of the training. The aim in this phase is to assess whether the objectives of the training programme have been achieved. The evaluation would require pre-testing and post-testing to determine the learner's knowledge prior to training and the knowledge acquired during training (Rajeev, *et al.,* 2009).

(c) Phase 3: Behaviour.

A third evaluation level is that of changes in job behaviour or performance. This entails observing the change in job performance, which happens as a result of the training (Farjad, 2012). The performance testing is to show the learner's skills to apply what he has learned during training. The evaluation entails testing the learner's competences to perform to a he acquired skills on the job as compared a classroom (Rajeev *et al.,*2009).

(d) Phase 4: Results.

The evaluation at this level endeavors to assess training in terms of organisational results (Farjad, 2012). The objective is to assess the cost versus the benefits of the training programmes, such as organisational impact in relation to reduced costs, improved quality of products and service, increased measure of work, etc. It evaluates the impact, which entails financial effectiveness, moral, teamwork, etc. (Rajeev, *et al.,* 2009).

Although this evaluation model is the most popular model used and applicable to any organisation (Rajeev *et al*., 2009), it also has limitations, firstly, it is incomplete, because it does not consider the individual or contextual influences in the training evaluation. Secondly, it is also unclear about the exact kind of the causal linkages between training outcomes. Lastly, the weak theoretical connections inherent in the model and resulting in the data it produces not providing a reasonable foundation for this assumption (Bates, 2004).

ii) Nadler's critical events model.

This model focuses on the evaluation of the design and delivery process of a training programme. Every step, from the examination to the presentation of the training programme, is evaluated for effectiveness and efficiency. It focuses on the results of the activities for which the designer has responsibilities, and not on the performance of the designer. The evaluation is not a once off event. It is a continuous process and should be included into every component of the training and delivery process. The outcome of the evaluation of one step serves as a point of departure for the next step (Coetzee *et al*., 2007:271). Foley (2004:109) asserts that it entails series of

occurrences connected by assessments and pointers. According to Erasmus *et al*. (2009:11), it is a common model for training, and it examines the training process in holistic terms. This model contains nine steps which are discussed as follows:

(a) Step 1: Identifying the needs of the enterprise.

Both the internal and external environments of the organisation impact on its ability to survive in economic terms and to grow. The organisation is constantly interacting with both its internal and external environments since it is an open system. Factors that cause needs for the organisation, and for the employees, entail changes in the product or in the service offered by the organisation, changes in equipment and rules as well as new products or services. The development and execution of a training program starts once all the concerned parties have reached an agreement regarding the nature of training needs in an organisation (Erasmus *et al*., 2009:12).

(b) Step 2: Evaluation and feedback.

These are factors vital to this model and must be viewed as constant processes to be performed in each step of the training process. Constant evaluation and feedback ensure the accurate implementation of each step (Erasmus *et al.,* 2009:12).

(c) Step 3: Specifying performance.

Employees' work is scrutinized to establish the content during this step. The supervisors, co-workers and the employees provide the information on the work being investigated. The reason for this step is to establish work standards against which employee performance can be evaluated (Erasmus *et al.*, 2009:13).

(d) Step 4: Identifying training needs

This step forms a vital part of the training process. When identifying employees' training needs, it should be taken into consideration that people have particular needs. It is important to realise that the essence of identifying these training needs lies in determining the gap between the set standard of performance and the actual performance of the employee (Erasmus *et al*., 2009:13). This could be achieved through performance evaluations, which can effortlessly pinpoint an employee's specific needs for training. The employees' inability to meet the required performance standards is often the direct result of inadequate knowledge and skills

(Evans, 2013:377; Durai, 2010:273). Kleynhans (2006:144) argues that the information collected from performance evaluations must indicate which employees need training and development as well as the precise competences they need to work on. Erasmus *et al*. (2009:13) further state that the training programme can be designed after the needs have been established. Durai (2010:273) further maintains that the outcomes of performance evaluations can be employed to determine whether the employee or group of employees will need further training and development. According to Saks *et al*. (2011:22), the purpose of all training and development efforts is to develop employee performance, as well as to develop organisational effectiveness.

(e) Step 5: Formulating training objectives.

The formulation of objectives happens after the establishment of training needs. A discrepancy is drawn between general training objectives that are aimed at identifying student performance, and particular training objectives directed at satisfying particular training needs (Erasmus et al., 2009:13).

(f) Step 6: Compiling a syllabus.

Training should take place in accordance with a carefully planned syllabus. The emphasis is on what must be learned and the order in which it must be learned. The syllabus is, therefore, based on training objectives and the subject content must enable students to achieve the training objectives (Erasmus *et al*., 2009:13).

(g) Step 7: Selecting instructional strategies.

Aids must be selected with a view to presenting the training in a meaningful and enriching manner. Instructional strategies cover a wide variety of techniques, methods and media to choose from. It is essential that the strategies selected should suit the content and aim of a training programme (Erasmus *et al*., 2009:13).

(h) Step 8: Acquiring instructional resources.

This step requires that a variety of resources be considered to ensure the successful presentation of a training programme. It entails three broad categories that are highlighted below (Erasmus *et al.,* 2009: 14)

- Physical resources, which include equipment, material, and facilities.

- Financial resources where the focus is on aspects such the cost effectiveness of training and the management of a training budget.
- Manpower resources, which refers to people such as programme facilitators, instructors and students.
-

(i) Step 9: Presentation of training.

The last step in the training model is the presentation. During this phase, all the preparations mentioned above are combined and the success of this phase ensures the success of the training programme as a whole. The presentation phase integrates all the previous steps and also includes aspects such as presenting, evaluating, and concluding the training programme (Erasmus *et al*., 2009:14).

5.7.5 Factors that Impact on Training and Development.

Training and development are entrenched within a larger environmental and organisational environment, which in turn impacts the human resources system (Saks *et al.,* 2010:15). According to Noy and Karwowski (2006:111), although organisations may systematically develop and evaluate effective training programmes that may ensure they produce the desired results, these programmes may not guarantee external effects. In fact, factors external to training also need to be taken into consideration, since they will impact the programmes' outcome over and above the content and strategies used. The nature of the training market itself is evolving and has a direct effect on organisational training practices. There are several changes, both internally and externally, that can impact on the market for training and development activities (Swart *et al*., 2005:360):

5.7.5.1 External factors.

The external factors that impact on training and development are legislation, economic climate, competition, demographics and social values (Saks *et al.,* 2010:15). Swart *et al*. (2005:360) also mentions the external factors as political, economic, social and technological changes. Saks *et al.* (2010:19) further states that these external factors impact the organisation's strategy, structure and the manner in which human resources are managed. These factors, in turn, influence the design

and delivery of training and development programmes. Lawler and Hundley (2008:99) maintain that the type of national labour market is vital as well as the extent of the regulation of employment practices, such as non-discriminatory/discriminatory labour practices, recruitment and selection, salary determination, union influence, human resource development and dismissal laws.

5.7.5.2 Technology

Globalization and evolving technology have changed the business climate. These changes require the development of employees' competencies and the effective use of technology. Technology is now the essential driver of learning systems and development (Naik, 2007:144). Holman *et al.* (2003:38) also maintain that considerable accelerating technological change indicates that organisations need to constantly transform the skills and knowledge of their employees.

5.7.5.3 Internal factors.

The organisation's internal environment also has an effect on training and development. The factors that are among the most significant internal factors of the organisation include the organisation strategy, structure as well as culture (Saks *et al*., 2010:16).

i) The organisational characteristics.

Some of the organisation's most significant internal events entail strategy, structure, and culture. These, together with human resources systems and other human resources functions, impact on training and development practice within the organisation. Hence, it is crucial that training and development should be aligned with the organisation's strategy and other human resources practices. This will, in turn, improve the individual performance and eventually the organisational efficiency (Saks *et al.,* 2010:18-20). The organisation's pre-training environment also indirectly impacts on training results by influencing trainee expectation regarding training, inspiration and leadership (Kozlowski, 2012:343). Kozlowski (2012:344) further argues that organisations must ensure that the environment offers opportunities to

apply skills and knowledge developed through training on the job.

(a) Organisational policies.

Organisational policies and procedures are two factors that are essential to organisational culture and climate. Procedures establish the means through which employees adhere to the policies (Kozlowski, 2012:344). Trainees can be made aware of these policies and procedures through a well-designed training program (Noy & Karwowski, 2006:111).. An organisation will only be able to attract, inspire, develop and retain its employees through the provision of policies, guidelines and practices (Saks *et al*., 2010:19).

(b) Organisational strategy.

Due to the increasing global competition, there is a necessity for organisations to link training and development with their organisational strategy. Since there are limited financial resources available within the organisations for training and development, this necessitates decisions regarding where to deploy resources for maximum result (Wilson, 2005:83). For training and development to achieve its goals, it needs to be integrated into the organisational strategy (Chanda & Shen, 2009:197). This is one of the most significant factors that impact on training and development. Training and development can assist the organisation in realising its strategic goals and in gaining competitive advantage when it is in line with the organisation's strategy. For example, if an organisation opts for a growth strategy, then employees will need new skills and knowledge to achieve that. This can be accomplished by training them for the necessary skills and knowledge (Saks *et al.,* 2010:16).

(c) Organisation structure.

Saks *et al.* (2010:18) maintain that organisational structures are progressively becoming flatter, with fewer management levels. As a result, employees are expected to perform duties that were initially thought to be managerial duties, which require them to be provided with the appropriate training. Numerous organisations have also experienced extreme structural changes, and changes in organisation's structure has frequently led to changes in the employees' duties and responsibilities, which also requires training in the related duties and responsibilities. Lawler & Hundley (2008:98) also maintain that organisational structure impacts the design,

content and execution of performance-oriented HRM practices such as staffing, compensation, HRM planning and training and development.

(d) Organisational culture.

A vital factor influencing training is the organisational culture. It is necessary to have a positive organisational culture that will ensure the efficiency and transmission of a training programme (Noy & Karwowski, 2006:112). Culture entails necessary values that differentiate one group or situation from another. It is a powerful contributor to the training and development philosophy that influences both organisational learning and performance (Wang & King, 2009:148). According to Saks *et al*. (2010:18), organisational culture is also one of the significant internal factors that impact on training and development. It defines the norms that exist in the organisation as well as expected behaviours, and these are usually communicated to employees through training programs. It permeates every characteristic of organisational activities, ranging from the manner in which employees interact with each other, to the job strategies used to complete the work itself. It has been argued to influence all organisational outcomes as well as training and development outcomes (Kozlowski, 2012:343).

ii) Supervisor support.

Supervisor support has been argued to influence the transfer of training. Some studies suggest that discussions with supervisors prior to and following training, as well as supervisor sponsorship, result in a successful transfer of learned skills to the job (Noy & Karwowski (2006:114). According to Weiner *et al.* (2013:253), some research studies have indicated that supervisor and peer support have a positive effect on the trainee's learning transfer. Martin (2010) also maintains that trainees with better peer support accomplish a more successful transfer of knowledge and expertise than those without it. Pidd (2004) also maintains that support is only effective when trainees identify with those who provide them with support, be it supervisors or peers. Supervisors can offer support by providing trainees rewards for participating in the training programme as well as applying acquired knowledge and skills after training. They can also achive this with positive reinforcement each time when new knowledge and skills are applied on the job, as well as informing others

about the successful use of new knowledge and skills (Poell & van Woerkom, 2011:103).

iii) Trainee characteristics.

Training results are influenced by characteristics outside the organisation, which are brought in by the trainee to the training program. These may do so either before the training programme commences or after it is completed. They may include intellectual capacities, self-efficacy, expectations and goal orientation (Noy & Karwowski, 2006:113). According to Kozlowski (2012:340), the individual trainee characteristics need to be considered before training and planning, as well as after training, since they wield an important effect on learning and behavioural outcomes. Factors like intellectual ability, self-efficacy, goal orientation, locus of control, organisational commitment, expectations and motivation are considered to be significant factors that impact on training efficiency. They form the basis of knowledge acquisition from which a design of effective training is erected.

(a) Cognitive ability.

Cognitive ability impacts on both objective work sample performance, as well as supervisory assessed job performance through its effect on work knowledge attainment (Kozlowski, 2012:340).

(b) Attitudes

The employee's attitude towards his/her organisation and the training itself can influence inspiration, approach and participation in training (Kozlowski, 2012:341).

(c) Self-efficacy.

Self-efficacy refers to the individual's belief in his/her own capability, and it has been found to be closely associated with learning and performance (Kozlowski, 2012:341).

(d) Goal orientation.

The concept of goal orientation was developed as a method of accounting for individual variances in the intellectual, emotional and behavioural reactions of individuals in situations like training. It defines an inspiration to exhibit proficiency in

hopes of gaining commendation and evading undesirable judgment (Kozlowski, 2012:342).

5.7.6 Measures for Promoting Skills Development in South Africa.

The Department of Labour has put into place the Skills Development Act and the Skill Development Levies Act to ensure that competences of the South African labour force are enhanced. This is achieved by persuading learners to be involved in learnerships as well as other education programmes. One of the two significant organisations that are accountable for the execution of competence development and prioritizing the competences for development is the Sector Education and Training Authorities (SETAs). SETAs envelop each business and profession (Coetzee *et al.*, 2007:30, 31). These SETAs provide direction to employers who participate in the learnership programmes that offer opportunities for school leavers, employees and job seekers. This equips them with skills that will enable them to find employment or open businesses to employ others (Stuart, 2010/11). Their major function is to participate in the enhancement of competences of the labour workforce in order to uplift the standards of employees in a particular sector while also ensuring that employers of that industry are provided with the necessary skills (Coetzee *et al*., 2007:32).

5.7.7 Characteristics of an Effective Training Function.

Cascio (2010: 293) mentions four features of an effective training function as follows:

- Executive managers should be dedicated to the training and development of the organisation. They should also ensure that it is a component of the organisational culture.
- Executive managers should ensure that training is linked to the organisational strategy and goals, and that it is connected to the bottom-line outcome.
- They should also ensure that they provide feedback, highlight constant development, encourage employees not to be afraid to explore new areas or ideas, recommend one-on-one mentorship and provide chances to learn from achievements and let-downs.
- They should ensure that they also dedicate time and funds to training.

Talbot (2003: 15) provides the following brief statements regarding training and development:

- There should be a clear connection between training and development and the training needs.
- Training and development should be accessible to all employees within the organisation.
- It should be planned and systematically managed.
- Individual employees and their superiors should ensure that they have responsibilities with regard to training and development.

5.8 Industrial/Employee relations.

5.8.1 Introduction

Messmer *et al.* (2008:230) describe employee relations as: “the policies and practices concerned with the management and regulation of relationships between an organisation, individual staff members, and groups of staff within a working environment”.

Industrial relations is concerned with organising and regulating the employment relationship through communication, discussions, bargaining, disagreement and argument between the employers and employees (Deb, 2009:525). According to Bendix (2006:45, 298), this relationship is different from other relationships in the sense that it is derived from the necessity of economic activity within the society and from an individual need to work and be paid for his work.

Ackers and Wilkinson (2003:165) maintain that industrial relations focus its attention on two parts of the Human Resource Management function: firstly, the horizontal relation amongst the HRM function and other management function. The relationship between these two categories are both functional and political, whereby managers need sources of influence to make sure that their function is successful in the competition for shared resources; and secondly, the vertical relationship amongst the HRM function and employees, as well as their representatives.

Bendix (2006: 302) further states that the industrial relations function is combined with the human resource management functions. The accomplishment of a healthy

industrial relationship with an organisation mostly depends on the manner in which the total HRM function is executed.

5.8.2 Industrial Relations Framework.

5.8.2.1 Introduction

The industrial relations framework entails four components namely, (1) an environmental perspective, which includes technology, market forces, and legal structure, particularly as it impacts on the negotiating power; (2) participants, composing of employees and their unions, who represent them and promote industrial peace in organisations, employers, whose aim is to do right things in the correct manner in order to attain organisational goals, and the government, which regulates this relationship; (3) rules, which describe the procedures by which employees and management should interact and resolve disagreements; and (4) ideology (Swanepoel *et al.*, 2011:442; Colakoglu *et al.*, 2006; Noe *et al.,* 2006:577)**.** Bratton and Gold (2007:114,115) state that these relations also involve negotiations between management and employee representatives regarding issues that affect employment contract. They are concerned with issues related to disciplinary and dismissal actions, grievance handling, selection, promotion, remuneration, retrenchment, trade union membership, industrial action, such as strikes and negotiation, as well as dispute-resolution processes, such as mediation (Schreuder & Coetzee, 2010).

Deb (2009:535) states that the industrial relations system entails players, namely the employees and their representatives (unions), the employer and the state, and it generates rules of the workplace, which are the creation of a relationship between these three actors. According Swanepoel *et al.* (2011:441), employers and employees play a major role in this relationship, whereas the government plays a secondary role. They further discuss these roles as follows:

5.8.2.2 The Role of Government.

The role of government is to develop and impose the legal structure, which could

control the rights and duties of both the employer and the employees. It also imposes all the laws relevant to various aspects of labour relations in the country. Government could also provide required support to ensure that employers and employees behave in a sound and equally suitable way (Swanepoel *et al.,* 2011:442). Swanepoel *et al*. (2008:583) further argue that government also offers employers and employees significant information and direction concerning industrial relations processes, framework, institutions, systems and developments. Dzimbiri (2008:12) maintains that government controls the legal structure within which the employer and employees work together, by passing a wide range of labour laws and other Acts. It also impacts on the industrial relations through its own terms and conditions of employment, as well as their feelings towards the combined negotiations and labour associations.

5.8.2.3 The Role of Employers.

The employers' role is primarily to execute the required decision concerning maximum use of all the organisational resources. Managers have to participate in collective negotiation and associated labour relations activities in such a manner that it eventually serves the employer's interest. They look for ways to manage work activities, as well as work-associated conduct and performance to ensure the achievement of organisation objectives (Swanepoel *et al.,* 2011:442). According to Venter *et al.* (2003:65), employers supply employees with work and also unite to form employers' associations that represent them especially when dealing with employee representatives.

According to Swanepoel *et al.* (2008:584), the duties of management entail the following:

- Letting the employees remain in the service of the organisation and not terminate their services randomly.
- Remunerating employees for their job and for the services provided.
- Permitting employees to join unions.
- Bargaining with employees and/or their representatives.
- Presenting employees with secure and healthy working conditions, and
- Making sure that all facets associated with employee activity are dealt with within the limits of the law.

5.8.2.4 The Role of Employees.

The employees' duty is to sell their energy, expertise, knowledge and competences to execute particular tasks for the employer, under the supervision of management, and eventually to promote the organisation's interests (Swanepoel *et al.,* 2011:443). Venter *et al.* (2003:65) states that employees provide their service in exchange for monetary gain and, as a result of this economic necessity, employees are usually exploited, hence they unite to form trade unions to contradict the financial power of the employer through combined parameters of the employment relationship.

Swanepoel *et al.* (2008:584-585) further outline the duties of employees as follows:

- Conducting themselves at work in an acceptable manner.
- Executing their tasks in a requisite manner.
- Remain submissive and trustworthy to the employer.
- Conforming to sensible regulations and directions.
- Implementing their rights to associate, negotiate and embark of strike action in a responsible manner.

5.8.2.5 The Role of Unions.

Unions promote the interest of employees, shareholders and society by ensuring that communication between employees and management is improved, gather information regarding employee preferences, ensure that productivity is enhanced, reduce disparity in pay among employees and represent the political interests of low income earners and underprivileged people (Colakoglu, Lepak & Hong, 2006). According to Verma (2005), unions play a major role in society, although their central role is within the work environment. The other roles include:

- Ensuring that employees get the best possible compensation for their services.
- Ensuring that there is a better balance between the employer and employee interests.
- Making sure that there is better communication between the employer and employees.
- Ensuring that employees are fairly treated.
- Ensuring better working conditions for the employees.

5.8.3 Functions of Industrial Relations.

There are various functions of industrial relations. Some of these include the following (Sivarethinamohan, 2010:7):

- Setting up communication between the employees and management in order to link the gap between them.
- Setting up a relationship between the manager and the employees.
- Making sure that unions productively contribute to the avoidance of industrial conflicts, preserving the interests of the employees on one hand, and preventing harmful and immoral atmospheres in an industry on the other.
- Setting rules and guidelines to encourage understanding, creativity and collaboration in order to raise industrial productivity, which helps in making sure that there is better employee participation.

The industrial relations functions are incorporated within the HRM functions (Bendix, 2006: 302). Some of these functions are discussed as follows:

5.8.3.1 Recruitment

Bendix (2006:303) states that the industrial relationship commences when the HRM department recruits a potential employee. Recruitment will also verify the quality of the employees and appropriateness of incumbents for the job in question.

5.8.3.2 Performance Management/Performance Appraisal.

The new employee's performance is monitored through performance appraisal**,** but besides measuring the employee's performance or appropriateness for the job, the aim for this monitoring is also to establish whether the organisation and the job fits the employee. The outcome of performance appraisal is remedial behavior and can also result in job enhancement and job contentment. This will result in an improved industrial relationship, and other methods for job enhancement, which should originate from the HRM department. Performance management and performance appraisal could broaden into career planning as well as training applications**,** both of which are gradually placed on union agendas when negotiating with management.

They are very significant in terms of both the Employment Equity Act and the Skills Development Act (Bendix, 2006:304).

5.8.3.3 Compensation

The HR managers recommend that standards scales should be used although they may result in dissatisfaction. Even if they may be used, their justification should be carefully studied and they should emphasise the organisation's labour relations policy and goals. The rationale for disparity should not only be tolerable but also be reasonable. This disparity should be reported in terms of the Employment Equity Act. It should be noted that the manner of payment and errors in the payment process might result in unnecessary disturbance (Bendix, 2006:304).

5.8.3.4 Training

Effective training leads to more productive employees and to job and personal contentment, job enhancement, growth prospects and employees' awareness of the organisation's concern in their development. Both the employees' and organisation's needs should be taken into consideration when the training programme is designed, and it should be in line with the skills development action requirements (Bendix, 2006:304).

5.8.4 Factors that influence industrial relations.

Singh (2011:127,128) outlines the factors that influence industrial relations as being economic, institutional, technological, social and cultural. These are discussed as follows:

5.8.4.1 Economic factors.

Randhawa (2007:276) maintains that economic factors comprise aspects like economic system namely, capitalist, socialist, communist, mixed economy, economic circumstances and policies, source of labour supply, type and composition of labour force, labour market comparative status, level and structure of wages, dearness

allowance, incentives, price level, nationalisation of industries, rationalisation, level of unemployment, etc. The economic status of the employees and the negotiating strength impacting industrial relations, is determined by the demand and supply of the workforce, the nature and composition labour force and the organisation of labour.

The pressure to compete globally with cost-effective quality production has put pressure on employers' organisations to extract performance and to ensure that employees deliver. The emphasis is now placed on regulating performance rather than regulating terms and conditions of employment. This has led to downsizing and rightsizing and, as a result, tenure employment has been replaced with subcontracting, outsourcing and contractual forms of employment. The employee-employer relationship is now more individualistic than that of a collective nature (Singh, 2011:127,28).

5.8.4.2 Institutional/Governmental factors.

According to Singh (2011:127, 28), the institutional factors comprise of government policy, labour legislation, functioning of labour courts, trade unions and employers' organisations. The new economic policy brought about changes in the legislation relating to trade, finance and industry policy, while labour laws remained as they were. The emphasis has shifted from trade unions and is now placed on building relationships with employees rather than with unions. Industrial relations is also significantly influenced by social and religious groups through a predominant value system and by endeavouring to ensure conformance. Randhawa (2007:276) also maintains that institutional factors entail government labour policy, labour legislation, unions and employers' organisations, as well as their policies, collective bargaining agreements, voluntary codes and execution mechanisms.

5.8.4.3 Technological factors.

Technological factors include the types of technology employed, work techniques, technological development, etc. The technological factors directly influence the wage level and employment status (Randhawa, 2007:276). Technological factors include methods of production, mechanisation and innovation. If organisations have weaker

reliance on human capital, employee organisations would have weaker bargaining power. Additional development in technology and the improvement of competency profiles for positions have generated a new category of employees with different needs and ambitions. The introduction of new technology and techniques of work, have changed work patterns and job descriptions. This has led to a new creed of skilled employees, following new patterns of inspiration. Ambition levels have changed the character, scope and handling of relationship management (Singh, 2011:127, 129).

5.8.4.4 Social and cultural factors.

Social factors include norms, customs, beliefs, traditions, values, social status, level of education and level of growing (Randhawa, 2007:276). Singh (201:128,129) also maintains that social and cultural factors refer to the predominant social standards, values and beliefs. A study has revealed that in the post-liberalisation stage of economic growth, India promoted individualism, consumerism and a driving enthusiasm among the working groups to motivate its labour force to move up to higher positions through performance and the development of employee skills. With greater chances, the opportunities of labour mobility are far greater, attrition is higher, which favours one-to-one employee relations management more than a collective relationship.

5.8.4.2 Political factors.

According to Randhawa (2007:277), political factors entail the belief and philosophy of the reigning party, political institution and attitude of oppositions. These factors are created by the political system in the country, political parties as well as their ideologies. The progression and power of political parties and the methods used in formulating and applying policies impact the industrial relations climate. Likewise, the participation of trade unions in the formulation of policies also plays a significant role in slanting the balance towards the employees. On the other hand, if these parties find themselves to be reliant on financial support from the organisational entities, the political equation then would be completely changed. These political factors entail a political system in support of a new economic policy and its outcomes. For instance,

communist parties have constantly been voicing their concern over diversifications, merges, acquisitions and entry of foreign players in major sectors of the economy. The conflict is exhibited in trade unions' affiliation to the communist ideology through staging demonstrations against such government initiatives (Singh, 2011:127-129).

5.8.4.3 Organisational factors.

Organisational factors entail the organisation's industrial relations policy, working environment, predominant management style, living conditions, organisational culture, climate and health, trade unions, wage and salary management and different HRM policies Randhawa, 2007:277). The competitive atmosphere has brought about some changes in the employment procedures as well as in new staffing practices. Some organisations have resorted to flexible time for their employees, outsourcing some of their functions as well as contracting jobs. Automation has made personnel administration easier, quicker and more receptive through e-HR. The emphasis has, once again, been placed on the employee rather than employee group initiatives (Singh, 2011:129).

5.8.4.4 Psychological factors.

These are factors such as employees' views, attitude and behaviour toward management, unions, fellow workers, living and working conditions respectively, workers interest, morale, enthusiasm, boredom, dissatisfaction, etc. (Randhawa, 2007:276). Psychological factors play a major role in the employee relations management, particularly in the current performance-driven culture that does not promise exceptional job security. In fact, coaching, counseling and mentoring play a greater role in employee relations management, than they ever did in industrial relations. HRM strategies focus on inspiring employees toward excellence, innovation and customer satisfaction. Psychological instruments are more beneficial since they deal with individual needs and ambitions and, therefore the emphasis moves to the employee rather than to any employee representatives (Singh, 2011:129).

5.8.5 Functional requirements of a successful industrial relations practice.

According to Swanepoel *et al.* (2011:487), managers should see to it that the relationship between the employees and themselves, and also between the employees and their work, is preserved at a standard that is favourable to a successful organisation, irrespective of whether employees belong to a union or not. The fundamental prerequisites for a successful industrial relations function are based on the following (Arora, 2008:10,11).

5.8.5.1 Executive management support.

Industrial relations must obtain its authority from top management, since it is a functional staff service. This means that the IR director should report to executive line authority (Arora, 2008:10,11). However, this does not mean that his values system should be dictated by the employer or the employees. In order to execute his function effectively, he needs to be an honest person who is governed by his professional and ethical code (Bendix, 2006:301).

5.8.5.2 Sound personnel policies.

Pearce and Robinson (2005: 288) state that policies serve as an authorising instrument that ensures that decision-making is easy by empowering functional managers and their employees. They channel the organisation in reaching its human resource relations decisions, and are also designed to guide and support the employees' activities and behaviours. The intention of these policies is to make decisions on how to solve any problems that may surface daily during the working of an organisation, prior to any arousal of crisis. They can be effective only when they adhere to all levels of the organisation (Arora, 2008:12; Thompson, Strickland, & Gamble, 2007).

5.8.5.3 Adequate Practices should be developed by professionals.

In a situation where policies need to be executed within the organisation, a system of procedures is necessary, if the aim is to be appropriately transformed into action.

The procedures and functions of an industrial relations department serve as an instrument of management, which enables a line manager to be proactive in his job (Arora: 2008:10).

5.8.5.4 Detailed supervisory training.

In order for the organisational policies and practices to be appropriately employed and effected by the industrial relations personnel, line managers need to be comprehensively trained to ensure that they communicate the importance of these policies and practices to the employees (Arora, 2008:10). According to Bendix (2006:304), training should expand to management and managing director level, particularly when it regards the dissemination of information, as well as promotion of steady labour relations. Arora (2008:10) further states that line managers need to be trained in leadership and communications.

5.8.5.5 The follow-up of results.

The industrial relations function needs to be evaluated so that the existing practices may be correctly assessed and unwanted developments may be scrutinized as they occur. The organisation must also conduct continuous research on grievances and suggestions, wage administration, etc, to ensure that the organisation policies are better suited to organisational needs, as well as employee satisfaction (Arora, 2008:10).

5.8.5.6 Communication with employees.

Communication with employees is one of the most essential aspects the manager's job. The intention of communication is to ensure that the recipient understands the intended meaning of the sender's message no matter in which form it is transmitted (Swanepoel *et al*., 2011:487).

5.8.5.7 Handling employee grievances.

It is often the case that when an employee is dissatisfied at work and the matter is

not amicably resolved; he/she may resort to the termination of the relationship by quitting the job. It is advisable that prior to the termination of this relationship, there should be a system in place to address the grievance by means of grievance procedures. The employee can present such issues to management (Swanepoel *et al.* 2011:491).

5.8.5.8 Disciplining employees.

The aim of discipline is to make sure that all employees comply with the performance and behavioural standard and criteria essential for the successful operation of the organisation. It is therefore, a positive management aspect designed to facilitate learning and prospects for personal advancement and the attainment of organisational goals. This process involves official and unofficial components of discipline and forms a vital aspect of managing the performance and behaviour of employees on a regular basis. Discipline is often applied in situations where some employees fail to stick to the necessary minimum standards and requirements. Employers are therefore advised to have a system in place for official discipline (Swanepoel *et al.,* 2011:492).

5.8.5.9 Eliciting employee involvement and participation.

The management objective concerning employee relations is to facilitate employee collaboration and to reduce conflict levels. Management should plan to provide employees with a chance to be involved in the decision processes related to their daily work and the operations of the organisation in general. It can take different forms at different ranks within the organisation and can be introduced to different extents (Swanepoel *et al.,* 2008:642).

5.8.5.10 Conducting fair labour practices.

Fair labour practice plays a significant role in setting up sound labour and employee relations (Swanepoel *et al.,* 2008:646). According to Sivarethinamohan (2010:9), ten guidelines for good industrial relations include the following:

- Management's main objective should entail conformity.

- Management should also indicate reasonableness besides being unreasonable.
- Management should create standards and follow them with an ideal measure of lucidity.
- There should be consistency in the implementation of policies and procedures.
- Negotiation should be done in good loyalty.
- It is very critical to retain direct mutual communication between the employer and employees to prevent the development of misunderstanding.
- Management's business deals are conducted with transparency.
- Industrial relations rely on the quality and capability of the role players.
- It is critical to maintain the dissimilarities between the tasks and roles of the employee representatives and the management.
- Management must be accountable for the development of good relationships.

6. THE IMPORTANCE OF THE EVALUATION OF HUMAN RESOURCE MANAGEMENT PRACTICES.

6.1 Introduction

According to Olalla and Castillo (2002:58), evaluation "…consists of diagnosing, analyzing, evaluating, and assessing future lines of action within the framework of HRM". This means that there are various terms, with similar meaning, that can be used for evaluation. According to Storey *et al.* (2009:86), the HRM evaluation includes assessment of policies, procedures, documentations, systems and practices in relation to an organisation's HRM functions. However, some of the HRM evaluations are much wider in scope, and they assess the degree to which HRM policies and practices are in line with the organisational strategic goals and values, as well as the degree to which they are successfully executed to get the desired behaviours and results.

Pranit (2010:131) highlights what needs to be gathered during the evaluation of the recruitment function, as follows:

- The number of initial queries received which led to application forms being completed.

- The number of candidates at different phases in the recruitment process, particularly the short-listed ones.
- The number of the recruited candidates.
- The number of candidates retained by the organisation after a period of six months.
- The number of males and females who are successful at each phase of the process.
- The number of candidates from various ethnic sub-groups

7. The Necessity of Evaluating HRM Effectiveness.

HRM departments have shifted from playing a mere administrative role to becoming strategic partners. But this shift has necessitated new methods of defining and evaluating human resource strategic contributions (Cabrera & Cabrera, 2003). According to Colakoglu *et al.* (2006), as changes take place in organisations, the role of HR needs to be revisited, especially as regards how its effectiveness is evaluated. This evaluation is constantly viewed as an important characteristic of Human Resource Management (McLean, 2005). According to Franklin et al. (2005), reasons for HR evaluation entail the necessity for improved effectiveness in internal management practices, greater visibility of HRM function and subsequent effort towards superior professionalism, the necessity to be universally viable, and recognition of employees as a vital factor in developing and maintaining competitive advantage.

There are various reasons why the evaluation of the HRM function is currently critical in many organisations. Olalla & Castillo (2002) provide one of these reasons why HRM evaluation was necessary as to protect the operational effectiveness and use of client contentment. This means that, to ensure that the organisation performs efficiently and effectively and to ensure that HRM's internal customers' satisfaction is maintained; HRM needs its function to be evaluated. According to Ramlall (2003), this evaluation is significant because the information collected from it is utilised to establish how specific HRM practices link with better business results; establish possible areas for investments, growth, and cutbacks; validate budget distributions; and be more responsible for funds spent in the organisation.

Kumar and Mishra (2011) maintain that it is crucial to occasionally evaluate the human resource functions of an organisation and develop innovative HRM strategy, meaning that, based on this evaluation, the HRM function of the organisation will be able to develop new goals to maintain competitive advantage in the market in which it operates. Ahmad and Schroeder (2003) state that it is necessary for organisations to evaluate their existing HRM practices because the evaluation would enable them to adjust them should the need arise, and also enable employees to effectively contribute toward the improvement of organisational performance.

7.1 Reasons for evaluating HRM.

McLean (2005) provides some of the many reasons why it is important to evaluate HRM function:

- Establishing future HRM investments.
- Development of HRM processes.
- Establishing the alignment of HRM with organisational plans.
- Constructing intellectual capital within the organisation.
- Ceasing doing what is ineffective.
- Ensuring that everyone in the organisation is accountable to stakeholders.
- Ensuring that there is improvement in the organisational wide-range atmosphere and wellbeing.
- Keeping away from trends and “flavours of the month”.
- Ensuring that the organisation keeps the employees motivated and productive.
- Developing the image of HRM by indicating its contribution to the achievement of organisational goals.

Another significant reason, stated by Verweire and Berghe (2005:193), is that if HRM does not have any procedures for its intangible resources, it will encounter severe complications in evaluating and providing its contribution, and would not be able to convince line managers to use and take advantage of the developed HRM policies and tools. This would result in line managers not recognising HRM as a critical strategic department.

7.2 Areas that Constitute the Foundation of Human Resource Evaluation.

Aswathappa (2005:617) outlines the main issues that are covered by HRM evaluation as:

- Salary surveys.
- Efficiency of different recruitment sources.
- Efficiency of training attempts.
- Assessment of effectiveness of the supervisor.
- Current industrial settlement.
- Job analysis.
- Job satisfaction analysis.
- Review of employee necessities.
- Review of employee attitude towards compensation and incentives.
- High accident occurrence.
- HRM compliance assessment overview.

7.3 The Process of Human Resource Evaluation.

The process of human resource evaluation involves a number of aspects that ensure that it is efficient and able to achieve its intended purpose. Arnold Group (2004) identified the following aspects as vital to this process:

7.3.1 HRM compliance assessment overview.

Organisations currently operate in a competitive and legal environment, which necessitates them to be HR compliant and avoid costly lawsuits and penalties when they are not. To be HRM compliant, they need to familiarise themselves with the laws, develop appropriate policies in relation to the laws, and ensure that they understand employment laws and policies, and that they are constantly followed. HRM evaluation would focus on whether HRM is compliant with the legal requirements of the employment laws (Arnold Group, 2004).

7.3.2 Human resource management policy.

In order to deal with issues related to employment and other aspects of their business, organisations would also need sets of written policies. As such, they need to have good HRM policies, as well as handbooks for employees that are critical to good management and vital to reduce risk in employment-related issues. The evaluation in this regard would mainly focus on the employee handbook, whether the organisation is compliant with the country's employment laws and whether HRM policies are communicated to employees and required notice postings (Arnold Group, 2004).

7.3.3 Tracking and reporting.

Creating and maintaining employee personnel files can be time-consuming and painstaking. It is more difficult presently than ever before to legally record and retain requirements. Employers need to keep accurate and up-to-date personnel files in order to reduce employer liability. In this case, evaluation would focus on record-keeping systems, record retention and employee access and Human Resources Information Systems (HRIS) (Arnold Group, 2004).

7.3.4 Job descriptions.

Job descriptions are used as tools to assist in explaining the organisation's mission and vision to the employees, scrutinising the recruitment needs and compensation budgets, recruiting qualified candidates, ensuring that employees with disabilities are accommodated and supervisors are guided as they appraise employee performance (Arnold Group, 2004).

7.3.5 Safety and Occupational Safety and Health Act (OSHA).

OSHA ensures that employees work in a safe work environment. This is achieved through safety rules, guidelines, and regulations. Organisations must comply with these rules and regulations to avoid being fined. HRM evaluation in this regard focuses on the OSHA record keeping requirements, required employee notices and

safety and health programmes (Arnold Group, 2004).

7.3.6 Benefits

With regard to benefits, the Department of Labour has estimated that approximately 90% of all employers do not comply, and as a result of this, they are liable for fines, excise taxes, and lawsuits. The evaluation focuses on employee benefits which include: Group Health Insurance, Workers' compensation insurance, family and medical leave, vacation and other time off policies, other retirement plans as well as other additional benefits (Arnold Group, 2004).

7.3.7 Compensation

Armstrong (2007:492) maintains that it is also important that compensation policies and practices are monitored, and assessed against the needs of the organisation, and should match the results with the set goals of the function. Armstrong (2007:492) highlighted characteristics of compensation policies and practices that need to be monitored and evaluated as follows:

- Availability of genuine, advanced and consistent compensation strategies.
- Improvement towards developing the entire compensation method.
- The pragmatic extensiveness of compensation policies and how effectively they are implemented.
- The efficiency of the job analysis structure, how pertinent it is to the currently employed planning, the extent to which it offers source for reasonable and impartial ranking decisions and for averting grade float and whether or not it is too inflexible or laborious.
- Advancement towards accomplishing equivalent compensation for work of equal value.
- The existence of precise and functional information on market rates. The relevance of the grade and compensation structure expending the standards set out as the foundation for evaluation.
- The circulation of real payments and the level to which it fits into policy guidelines by mid-point management as defined below.

- The point to which salary levels are reasonable and add to the appeal and preservation of superior-quality staff.
- The money's worth is being attained from the provisional salary preparations pertaining to their costs and benefits.
- The prevalence of attrition to salary costs that happens when employees enter positions at lower levels of salary than the previous position holder and the effects for the compensation policy.
- The efficiency of performance management processes with reference to how they operate in terms of accomplishing full compensation goals, and the superiority of the results as a means of advising contingent pay decisions.

Compensation policies should be applied equally by employers to all employees. The evaluation would centre on the salary administration, bonus and incentive plans, garnishments and withholdings and FLSA exemptions (Arnold Group, 2004).

According to Cascio (2010:421), the most significant aim of any compensation system is fairness and this can be evaluated on at least three dimensions:

- Internal equity: Are the rates fair in relation to the value of individual work to an organisation?
- External equity: Are the salaries paid by an organisation fair in relation to the competitive market rates outside the organisation?
- Individual equity: Is each individual's salary fair in relation to that of other individuals doing similar work?

7.3.8 Employment practices.

Although managers and supervisors are often involved in employment planning, it is generally HRM's responsibility to manage the entire process. The start of the hiring process and recruitment is filled with legal pitfalls. The evaluation in this regard centres around employment planning, recruiting policies, employment advertising, job application, hiring costs analysis, applicant interviews, reference checks, testing and evaluation, background checks and selection criteria (Arnold Group, 2004).

Catano *et al.* (2010:276) asserts that not only should organisations be looking at whether advertisements have paid off by attaining more applications, they should

also focus on whether they have managed to employ better competent candidates, the price of recruiting new employees, whether they are more productive or have a more optimistic approach about the organisation and whether they will remain with the organisation for a longer period.

According to Cascio (2010:219), the rationale is to improve the efficiency of future recruitment attempts by examining the performance of different recruitment sources systematically. To establish whether recruitment and selection serve their intended purpose, they need to be evaluated in terms of money spent per appointment and the quality of appointment (Baker & Utrecht, 2007).

According to Olalla and Castillo (2002), evaluation of recruitment ensures that it is conducted fairly and legally, and also protects job seekers from unfair discrimination. They further state that the evaluation of this practice centres around the number of days necessary to fill a vacant position; the number of applications received per job category; the average number of days between receiving the application and the final response; the average cost of recruitment and selection per position; the extent to which internal and external sources of recruitment are employed; the average number of candidates that fail the selection tests, and the extent to which the recruitment attempts are suitable for the organisational strategy.

Sahu (2010:14,15) asserts that recruitment plans can be measured in several different ways:

- Cost per employment is determined by dividing the entire expenditure of the plan by the number of appointments.
- Indirect expenses like administration and planning time. The effectiveness of employing competent candidates at reasonable cost can be assessed by calculating cost per employment.
- Vacancy rates permit the employers to assess the form of occurrence in employee turnover. This is calculated by dividing the number of vacant posts by a number of posts when the organisation is completely staffed.
- Selection rates permit you to view the ratio between the number of the interviewed candidates and the number of candidates employed. This information is attained by dividing the number of interviews by the number of appointments. These rates may assist in defining the competency of the candidates being interviewed. The pre-interview screening methods may need

to be assessed if selection rate is low.

- Response rates demonstrate the return on hiring advertisements. Should the organisation receive a low return, it will mean that the advert requires improvement. These rates are computed by dividing the number of candidates who responded to the advert by the number of candidates actually qualified for the post. For example, if there are few qualified candidates and the target was for more, then the advert requires urgent adaptation.

Cascio (2010: 219, 220) outlines the following guidelines for data collection:

- Cost of operations: This entails the labour cost of the organisation's recruitment staff, operation costs and overhead expenses.
- Cost per appointment: This entails the cost of advertising and event, internet services, third party agency contracts and fees as well as recruiter fees.
- Number and quality of curriculum vitae by source.
- Acceptance/offer ratio.
- Analysis of post-visit and rejection questionnaires.
- Salary offered – acceptance versus rejection

Evaluation data should include reactions to the system and assessments of the system's operational and technical requirements. For example, a confidential survey could be administered to all employees asking about perceptions and attitudes about the system. This survey could be administred during the initial stages of implementation and then at the end of the first review cycle to find out whether there have been any changes (Smithe & London, 2009).

Compton et al. (2010:202) provides the following evaluation methods employed in recruitment and selection:

- Cost/benefit examination: Links recruitment cost with work output and labour turnover outcomes, assessing other recruitment and selection options.
- Performance measures: Measures and numerical ratios like time taken to fill the vacant positions, the validated effectiveness of new employees, labour turnover rates and productivity pointers.
- Cost-tracing: Measures appointment cost per new recruit, employee expenses as a percentage of payroll,

- Cost restraint or profit-centre approaches: Charges particular appointment costs to the new employee's department.

7.3.9 Monitoring and evaluating the performance management system.

It is crucial to carefully monitor the performance management system, as well as to evaluate how well it is functioning. This will ensure that application and maintenance problems are recognised speedily and efficiently resolved. Managers should seek ways in which they may reinforce the system holistically if it does not deliver useful information and assist in achieving a good appraisal on performance and improve fundamental outcomes (Poister *et al.*, 2014:47,48). As such, it is essential to employ clear measurements to monitor and evaluate the system after the examination period has ended, and the performance management system has been applied organisation-wide. It has to be decided on how to evaluate the effectiveness, the degree to which the system is being executed as intended, as well as the level to which it is generating the planned result (Smithe & London, 2009).

Performance management evaluation stresses official performance evaluations, incentive evaluation, career development programme reviews, succession planning programme evaluations, organisational goal setting evaluation, evaluation of coaching and mentoring programmes, as well as the evaluation of work related issues (Bhattacharyya, 2011:291). This means that the evaluation will centre around the same. The performance appraisal, if properly conducted, ensures that organisational goals are met and maintains constructive relations with employees while minimising discrimination claims. In this regard, evaluation would focus on performance appraisal systems, performance appraisal interviews and training programmes (Arnold Group, 2004).

7.3.10 Discipline and termination.

Organisations need to determine and follow work rules that describe acceptable employee behaviour as well as state the appropriate disciplinary steps and termination procedures for misconduct. Regarding this evaluation will centre around the general discipline and work rules, progressive discipline, termination procedures

and exit interviews (Arnold Group, 2004).

7.3.11 Training practice

Baker and Utrecht (2007) state that training and development can be evaluated in connection with funds allocated to it and the number of participants. This evaluation establishes whether training and development has accomplished its objective in the most effective and efficient way (Swart *et al*., 2005).

According to Olalla and Castillo (2002), the evaluation of training and development centres around the methods pursued and the rate with which the employee training needs are considered; the measure followed to identify the content of the training programs; the assessment measure of the effectiveness of the training programs; the percentage of the HRM budget allocated to training; the number of hours of training per individual; the number of employees who participate in the training programs by job categories; the percentage of employees promoted per number of employees; the percentage of vacant positions covered internally and externally; and the average time per employee it takes to receive a promotion.

Nel *at al.* (2004: 427) argue that evaluation should be employed contrasting the outcomes with the aims of the training and development programme that were set in the evaluation phase. The criteria employed to assess the training programme depends on the objectives of the programme and who sets the criteria.

According to Coetzee *et al*. (2007:250,251), the evaluation managers and HR practitioners should gather information that could be utilised to make effective training and development decisions, which entail selection, implementation, adaptation and financial evaluation. The evaluation needs to be properly planned and clearly stated in the form of objectives of what needs to be evaluated. According to Phillips (2010: xi), training functions adopting a proactive attitude to measurement and evaluation have endured organisational and economic disruption.

7.3.12 Industrial relations

According to Durai (2010:566) one of the HRM functions covered by human resource evaluation is industrial relations. The evaluation of this function determines the appropriateness and quality of relationship between union and management (Deb,

2009:460). Evaluating organisational industrial relations by only examining negotiation processes is not enough. It must incorporate an evaluation of actors' strategies, behaviours, and perceptions at functional level of collective negotiations, strategic and workplace levels. It must not only assess each of the levels of activities separately, but also examine whether the state of employee relations at each of these levels is in alignment (Lewin *et al.,* 2011).

7.4 Challenges that prevent organisation from embracing evaluation of training.

Phillips (2010:xii-xiv) highlights twelve basic challenges that prevent organisations from embracing measurement and evaluation of training functions as follows:

7.4.1 There are several theories and models.

Quite a number of theorists have offered several theories and models for the evaluation of training and development practitioners to assist them in measuring the contribution of training, each purporting an exceptional approach.

7.4.2 Too multifaceted models.

Since circumstances and organisations are different, applying an evaluation process across various programs and organisations is complex. Developing models that are ideally sound yet simple and practical is a challenge.

7.4.3 Absence of understanding evaluation.

It has been a big challenge for the training practitioners to study this process, since sources are voluminous and make it difficult for a practitioner to grasp all through reading. As such, it is vital for the evaluator to comprehend the evaluation processes and also the entire training staff must learn parts of the process and understand how it speaks into their role.

7.4.4 The search for statistical precision.

The employment of complex statistical models is mystifying and challenging to grasp for numerous practitioners. As such, it is necessary to apply statistical precision when high-risk decisions are being made when there is plenty of time and resources. Or else, very simple statistics should be employed.

7.4.5 Evaluation is regarded as a post-program activity.

The evaluation loses the power to deliver the necessary outcomes as a result of instructional systems design models that are inclined to place evaluation at the end. The most suitable method to best apply evaluation as a tool is to consider it prior to program development.

7.4.6 Failure to realise the long-term payoff of evaluation.

The comprehension of the long-term payoff of evaluation necessitates exploration of numerous logics for pursuing evaluation. Evaluation can be utilised to:

- Define success in achieving programme objectives.
- Prioritise training resources.
- Improve training accountability.
- Recognise the strengths and weaknesses of the training process.
- Equate the costs to the benefits of the training programme.
- Choose who should participate in the future training programmes.
- Assess the clarity and legitimacy of tests, cases and exercises.
- Detect which participants were the most successful in the training programme.
- Strengthen major points made to the participant.
- Enhance the training quality.
- Help in marketing future programmes.
- Decide whether the programme was the proper solution for the specific need.
- Create a database that can help management in making decisions.

7.4.7 Absence of support from the main stakeholders.

Sometimes key stakeholders who need to utilise evaluation data do not provide the necessary support to make the process viable. However, particular steps should be taken to gain support and secure buy-in from senior executives and the management team. It must be obvious to them that evaluation yields valuable data that enhances programmes and validates results.

7.4.8 Evaluation has not delivered the data wanted by senior managers.

Senior managers require data on the application of new skills on the job as well as the parallel effect on the business units. At times, they want return on investment (ROI) data for key programmes. They are currently no longer accepting reaction and learning data as a final say in programme contribution.

7.4.9 Inappropriate utilisation of evaluation data.

Phillips (2010) outlines some of the challenges associated with the incorrect use of evaluation data as follows:

- Numerous organisations do not use evaluation data at all; the data is gathered, organised, recorded, filed and never utilised by any specific group other than the person who initially gathered it.
- Data is not delivered to the proper audiences. Scrutinising the target audiences and defining the particular data necessary for each group are vital steps when communicating results.
- Data is not employed to drive enhancement. Evaluation falls short of what it is intended to achieve, if it is not part of the feedback cycle.
- Data utilised for wrong reasons. Data is sometimes utilised in political ways to gain power or advantage over another person.

7.4.10 Absence of uniformity.

Evaluation needs to be consistent in its approach and methodology in order to add value and be accepted by various stakeholders. Since, without this consistency, it consumes too many resources, and raises too many concerns about its quality and credibility.

7.4.11 Absence of standards.

Standards are rules for making evaluation constant, unchanging and reasonable. There is limited reliability in processes and stability of results without standards.

7.4.12 Sustainability

Evaluation must be ideally sound and incorporated into the organisation so that it becomes routine and sustainable. In order to achieve this, evaluation processes must gain the respect of main stakeholders at the beginning.

Advantages of evaluating training and development functions.

Phillips *et al*. (2004) outline several advantages of training and development evaluation as follows:

- Measuring the distinction between what was necessary and what has been accomplished.
- The training objective is to improve the performance of employees as well as the organisation. As such, the evaluation will indicate the degree to which this has been achieved.
- Rationalising the HRD department's budget. It provides the department with the chance to rationalise its existence to management.
- Developing the plan and presentation of training programmes. Evaluation provides information that indicates whether the training programme meets its intended purpose.
- Enhancing the transmission of training. It examines the degree to which training has been transmitted to a work environment and assists in the recognition of obstacles to transition.
- Recognition of the unproductive training programmes. Evaluation assists the

organisation in recognising training programmes that do not meet their intended aim.

- Enhancing the reliability of the HRD department. Evaluation creates value and reliability of the HRD department and its personnel.
- Meeting the needs of management and gaining their support. Evaluation information demonstrates to management that their requirements have been accomplished by the HRD department, and this generates devotion and support.
- Indicating monetary return on training. Depending on the kind of evaluation carried out, evaluation presents information on the return on investment in training.

7.5 Who should participate in HRM Evaluation

It is critical that senior HRM executives, as well as the organisational council should participate in the evaluation, although the evaluation should be conducted by external independent professionals who have extensive expertise in the field (Storey *et al*., 2009:86). According to Warech and Tracey (2004), many HRM professionals are involved in the evaluation of HRM function to demonstrate how it contributes to the organisational goals. Besides HRM professionals, line managers are also involved in the evaluation of HR effectiveness to increase the reliability of the results (Yusoff *et al.,* 2009).

8. DIFFERENT APPROACHES TO HUMAN RESOURCE MANAGEMENT EVALUATION.

8.1. Introduction

There are various approaches to human resource evaluation. Some of these will be briefly discussed in this study, namely Boudreau and Ramstad's model, Hauser and Katz's model, Kaplan and Norton's model, Bargerstock's Model, as well as the South African Board for People Practices (SABPP) HRM System Model and Standard.

8.2 Boudreau and Ramstad's Model.

Boudreau and Ramstad (1997) proposed a framework known as HC BRidge™ framework, which shows the direct impact of HRM practices on employee behaviour and attitudes and how these produce strategic outcomes. This model entails three levels of evaluating Human Resource:

8.2.1 Level 1: What HRM makes happen.

This level involves the outcomes of HRM practices. The evaluation in this regard could reveal the direct impact of HRM practices on employee attitudes, behaviours and capabilities. Evaluating this level can reveal the HRM's worth to the organisation. The question that managers could ask is: "What do these practices really make happen to facilitate business results?" (Boudreau & Ramstad,1997).

8.2.2 Level 2: The success of the company.

According to Boudreau and Ramstad (1997), this is a "bottom-line" notion. It involves customer value-added, economic value-added, financial performance and shareholder value. Boudreau and Ramstad (1997) further suggest that the effect of HRM practices on organisational performance can only be seen once the HR strategies have been implemented and the desired outcomes have been met.
Boudreau and Ramstad (2007:30,31) describe the model as: "a decision framework for organisation and talent". This model is constructed on three main factors linked to their primary questions, namely efficiency, effectiveness and impact. These anchor points, according to Boudreau and Ramstad (2007), sustain a set of connecting components that jointly cover the reasonable links between investments in talents and organisation programs and practices as well as the organisation's maintenance of strategic success. They further indicate how these components link and pose related questions as follows:

8.2.2.1 Level 3: Efficiency.

Connecting components include resources. The primary questions are: Do we employ HRM practices through careful use of resources like time, money and

labour? And how should they be allocated? Losey *et al.* (2005:297) maintain that generally pointers would be cost per employment as well as time taken to fill the position. When efficiency is applied to sustainability, it would concentrate on the resources employed to ensure that HRM practices are compliant or to offer incentives that replicate public environment or social objectives.

8.2.2.2 Effectiveness.

Connecting components include interactions, the activities' culture, competences, as well as policies and practices. The primary questions are:
How do individuals need to behave and cooperate? What characteristics must employees have collectively and individually? What programmes and activities must we implement? According to Losey *et al.* (2005:297), the effectiveness signifies the impact of human resource policies and practices on human capacity as well as the subsequent associated activities of the marked talent pools. If the effectiveness is applied to sustainability, it would focus on human capital and associated activities that go further than traditional job and performance prerequisites.

8.2.2.3 Impact.

The linking components include sustainable strategic success, resources and processes, as well as organisation and talent. The primary question would be: How do we plan to contend and protect? What must we construct, implement and defend? What roles and structures must we develop? Do we employ HR programmes and practices to the skills pools where they have the extreme influence on our strategic and organisational success (Magau & Roodt, 2010)?

8.2.3 What is done by HRM.

According to Boudreau and Ramstad (1997), this entails individual HRM activities, activity costs, resource ratios and audits. The evaluation at this level can give a hint to the actual resources used when matched against the strategy. A question that could be asked by managers is: "Show me how this HRM activity causes something good to happen for our organisation".

8.3 Hauser and Katz's Model.

Another approach is proposed by Hauser and Katz (1998) that serves to highlight the connection between measures at various levels. This model of HRM evaluation categorises HRM measures into five distinct types. These are described as follows:

8.3.1 Evaluation of HRM practices and the HRM Function in general.

Evaluation of HRM practices and function comprise more traditional, operational measures of competence, such as cost, ratio of offers to number of applications and hours of training per employee (Hauser & Katz, 1998).

8.3.2 Evaluation of organisational capabilities.

Organisations should develop and encourage the evaluation of organisational capabilities, which include evaluation of employee behaviour, attitude and skills (Hauser & Katz, 1998).

8.3.3 Evaluation of the impact of HRM practices.

This comprises the evaluation of the impact of human resources practices on organisational capabilities (Hauser & Katz, 1998).

8.3.4 Evaluation of the impact of organisational capabilities on business strategy.

The evaluation is on how the organisational capabilities impact of the strategic business outcomes, which include financial results or customer satisfaction (Hauser & Katz, 1998).

8.3.5 The Direct evaluation of the impact of HRM practices.

The evaluation centres on how the HRM practices impact on the organisation as a whole (Hauser and Katz, 1998).

8.4 Kaplan and Norton's Model.

The main principle of this model is that, in order for organisations to achieve equilibrium, they need to develop objectives and performance measures in a variety of areas that replicate the complete latitude. Besides the financial perspectives, this model recommends that strategy development and assessment should be carried out from customer perspectives, internal processes perspectives, innovation and learning perspectives (Thorpe & Holloway, 2008:29; Wilson, 2005:96).

8.4.1 Financial perspectives.

The focus is on how the organisation appears to shareholders. The aim of these perspectives would be to accomplish the planned financial position without the need for unplanned financial support. The development need for this may be to learn techniques of making profits in order to escalate existing resources (Swanepoel *et al*., 2008:391; Wilson, 2005:96). Thorpe and Holloway (2008:30) maintain that it is return on the funds invested into the business. The evaluation in this perspective focuses on whether the organisation's strategy, implementation and execution contribute to the bottom-line improvement (Kaplan & Norton, 1992).

8.4.2 Customer perspectives.

This perspective focuses on the way in which the organisation is viewed by its customers. The aim would be to accomplish the agreed criteria by different interest groups. This may necessitate the development of knowledge and skills for staff members in the organisation (Swanepoel, *et al.* 2008:391; Wilson 2005:96). The evaluation is on whether an organisation is able to meet its customers' needs by producing quality goods and services, at the right time, in the right condition and at the right price (Kaplan & Norton, 1992). According to Thorpe and Holloway (2008:30), it is crucial that performance measures focus on what is precisely required by customers, that it is exactly what the organisation must do to convey the level of service anticipated by customers.

8.4.3 Internal processes perspectives.

This perspective normally comprises of measures that are associated with ways by which organisational goals would be accomplished (Thorpe & Holloway, 2008:30). It focuses on what the organisation must excel at to satisfy its stakeholders and customers. This may necessitate the examination of internal processes and make improvements where necessary (Swanepoel *et al*., 2008:391; Wilson, 2005:96). The evaluation focuses on the critical internal operations that would enable the organisation meet its customer needs, that is for instance, operations that impact on the quality of products, time, etc. (Kaplan & Norton, 1992).

8.4.4 Innovation and learning perspective.

In order to stay competitive in the fluctuating environment, organisations need to adjust to continue to offer products and services that are desired by customers (Thorpe & Holloway, 2008:30). The focus here is on how to sustain the ability to change and improve in order to accomplish the organisation's vision. This may entail measures like percentage of employees associated with organisation's vision and mission, percentage of employees with personal development plans in place and being executed, as well as percentage of employees with the necessary skills and competences (Swanepoel *et al.,* 2008:391; Wilson, 2005:96). The severe global competition necessitates organisations to continually improve products and processes. This perspective focuses on whether they can continue to improve and create value. The evaluation focuses on the organisation's ability to develop and introduce new products (Kaplan & Norton, 1992).

The development needs of employees are based on the assessment of how prepared they are to meet targets and measures in all four areas. This scorecard's viewpoint is to form a balance between cost control measures (assessing HRM effectiveness like source of cost per appointment) and quality-design measures (which may include measures constructed from information collected HRM assessments like the value of appointment decisions in relation to the number of appeals or cases referred to CCMA). It may also consist of proficiency reporting measures like the percentage of employees who have the required skills, and may

also comprise of the satisfaction index and the percentage of employee turnover in the organisation (Swanepoel *et al*., 2008:96,757).

Strengths and weaknesses of Kaplan and Norton's Model.

This model, like other models, has its inherent strength and weaknesses. McLean (2005) outlines some of the strengths as follows:-

- It seems to be strategic and centres around the bottom-line
- It centres around the organisation's strategy implementation which necessitates continuous change and flexibility
- Its current popularity is based on the terminology that is gradually becoming familiar
- It differentiates between deliverables and do-ables
- It centres on human capital.

McLeans (2005) further outlines Kaplan and Norton's model weaknesses as follows:

- There are challenges in determining quantitative measures for the most significant results,
- There is no established cause-effect connection between innovation and learning and other perspectives
- It is an exaggerated simplistic strategic model
- Start-up costs for training and for developing the systems are very high and
- Goals in this model become outdated, unless there is constant effort to keep them up to date.

8.5 Bargerstock's Model.

Bargerstock's (2000) model contains four phases, namely, ranking importance of the HRM service portfolio; HRM team self-evaluation; measuring current service levels, and developing action plans.

The aim of the first phase of the model is ranking the significance of various HRM services, e.g. recruitment and selection, HRM planning, etc. by internal customers, namely line managers and staff managers, towards the achievement of

organisational goals.
The aim of second phase of the model, namely, HRM team self-evaluation, includes self-rating by HR staff members of the services they render to their customers, from other departments within the organisation.

The aim of the third phase of the model, namely, measuring current service levels, is to develop performance metrics for different HRM services and measuring satisfaction levels as far as HRM effectiveness level is concerned.

The final and fourth level, developing action plans, involves the development of HRM business plans based on priorities emanating from the evaluation. This plan will show how the organisational needs of HR's internal customers will be met.

8.6 The South African Board of People Practices (SABPP) HRM System Standard Model.

The SABPP HRM System Standard model was developed by SABPP in consultation with HRM professionals from nine provinces in South Africa. The aim was to ensure that all HR evaluations are conducted in a consistent manner based on the same criteria. It comprises of 13 national standards developed in order to improve the quality of HR work irrespective of the HR professional's location, or industry and organisational differences. These standards are grouped into four phases of good quality management practice, namely preparation, implementation, reviewing and improvement. The 13 standard elements are discussed as (SABPP, 2014:4).

8.6.1 Business Strategy – HR Business Alignment: Preparation stage.

8.6.1.1 Standard 1: Strategic HRM.

SABPP (2014:32) describes strategic HRM as:

> …a systematic approach to developing and implementing HRM strategies, policies and plans aligned to the strategy of the organisation that enables the organisation to achieve its objectives.

The objectives of strategic HRM include (SABPP, 2014:32,33):

- To ensure that the HR strategy is aligned with the organisational strategy.
- To scan the internal and external environment of the organisation, for instance, the socio-economic, political and technological environment and provide proactive human resource-related solutions.
- To provide strategic direction and measurements for strategic improvement and sustainable human resource practices.
- To provide basis for the employment value proposition of the organisation.
- To develop a framework for the HR component of the organisation's governance, risk and compliance policies, practices and procedures which balance the needs of all stakeholders.
- To determine a suitable HR structure, assign roles and responsibilities and monitor the development of HR strategic objectives.

This standard element should be applied taking into consideration all the other standard elements, with particular emphasis on talent management, HRM risk management, labour force planning, HRM service delivery and HR measurement. The application of this standard includes (SABPP, 2014:34-37):

- Translation of organisational strategy into HR strategy.
- Ensuring that the HRM strategic agenda is a component of strategic decision making, goals and operational plans.
- Assigning HRM resources and building competencies to implement the HRM mandate.
- Providing an appropriate source for the development of the policies, plans practices and procedures.
- Assigning accountability and responsibilities for the implementation of HRM strategy.
- Making sure that the implementation of HRM strategy is evaluated and monitored with the governance framework of the organisation.
- Providing continuous improvement and sustainability of the HRM strategy through planned evaluations and combined reporting.

8.6.1.2 Standard 2: Talent Management.

Talent management is defined as (SABPP, 2014:38):

> …the proactive design and implementation of an integrated talent-driven organisational strategy directed to attracting, deploying, developing, retaining and optimising the appropriate talent requirements as identified in the workforce plan to ensure a sustainable organisation.

The talent management standard element should be applied with all other standard elements in mind, specifically focussing on the learning and development, organisational development, and HRM technology, in addition to standard elements mentioned in standard elements 1. The main objectives of this standard are (SABPP, 2014:38,39):

- To develop a talent culture which describes the organisation's values, principles and integrated approach to talent, which influences diversity and is communicated in a clear employment valued plan.
- To identify strategically essential positions and leadership roles, and talents in the organisation, into the future from the labour force plan that will determine the sustainability and progression of the organisation.
- To set up processes and systems that would:

  Draw a maintainable pool of talent for current and future needs of the organisation.

  Accomplish employment equity in order to achieve transformation.

  Realise the retention and compensation of talent.

  Develop the necessary leadership competencies.

  Plan of progression to key roles.

  Recognise high prospective employees and link them with vital future roles in the organisation through monitored development plans.

  Recognise areas of low performance in a vital role, or in an employee recognised as high potential and increase the level of performance through Performance Enhancement Plan.

  Identify the ideal development prospects for talent through assessment.
- To approve appropriate roles for suitable stakeholders in the improvement and management of talent.
- To monitor and report on talent management important outcome areas and pointers.

The application of this standard element should be done in consultation with key stakeholders consisting of different levels of management and employee representatives. The discussions should include the organisation's intentions for talent management, the proposed strategy, and the reasons why it was chosen, as well as clear explanations of the concepts of talent management. The application entails (SABPP, 2014:41-46):

- Involving and supporting line management concerning long-term planning, recognition of talent, staffing and other talent needs.
- Assessing the organisation's talent requirements by assisting managers to sub-divide and group talent throughout the organisation to ensure talent variation, as well as its management.
- Analysing the labour market trends of the necessary skills.
- Conducting a talent assessment related to organisational goals.
- Creating a talent management system that will focus on present and future talent requirements.
- Selecting interventions that would describe and improve leadership and other competencies.
- Selecting interventions that would support effective talent management in the organisation.

8.6.1.3 Standard 3: HRM Risk Management.

SABPP (2014:47) describes HRM risk management as:

> …a systematic approach of identifying addressing people factors (uncertainties and opportunities) that can either have a positive or negative effect on the realisation of the objectives of an organisation.

HRM risk management is concerned with increasing the chances for positive risk and managing negative risk. For instance, negative risks like absenteeism could be dealt with by proactively creating high levels of employee engagement, organisation citizenship behaviour and ethics. The objectives of this standard element are (SABPP, 2014:47, 48):

- To enhance the possibility and effect of positive measures and minimise the

possibility and effects of negative measures caused by human elements on the attainment of organisational goals.

- To align HRM and employee management practices within the governance, risk and compliance framework and combined model of the organisation.
- To ensure suitable risk evaluation practices and procedures relating to human factors are entrenched within the organisation.
- To ensure suitable risk controls are designed and applied to HRM activities and that interventions are based on evidence to ensure efficiency and cost effectiveness.
- To contribute in building and maintaining a risk management culture within the organisation that promotes innovation, creativity, management by fact and continuous learning.

The HRM risk management standard element should be applied taking into consideration all the other standard elements since it overlaps with all the standard elements. The application includes (SABPP, 2014:48-52):

- Placing HRM as a strategic partner in the organisation's risk governance structures and processes.
- Conducting a risk assessment of possible positive and negative human element risks on the attainment of organisational goals.
- Recognising and assessing the possible risk effects on strategic and operational HRM activities.
- Selecting suitable risk tolerances for various components of the HRM function.
- Designing and executing suitable people-based risk management systems, metrics, risk controls, and HRM practices that would contribute to alleviating the potential risks. These should adhere to the organisational governance, risk and compliance strategies and policies including integrated reporting.
- Monitoring and evaluating.

8.6.2 Functional and Cross Functional HRM Value Chain: Implementation stage.

8.6.2.1 Standard 4: Workforce Planning.

Workforce planning is described by SABPP (2014:53) as:

> …the systematic identification and analysis of organisational workforce needs culminating in a workforce plan to ensure sustainable organisational capability in pursuit of the achievement of its strategic operational objectives. The workforce plan will set out the actions necessary to have the right people in the right place at the right time.

Workforce planning is closely related to talent management, and the talent management strategy provides the strategic structure within which the workforce planning takes place. This standard element provides data and information to the talent management strategic planning, as well as functionalising the attaining aspects of the strategy. These two standard elements intermingle with each other. Workforce planning is mainly concerned with the whole labour force within the organisation, while talent management is concerned with the separate section of total labour force. The objectives of workforce planning include (SABPP, 2014:53, 55):

- To formulate a strategic workforce plan that meets the organisational needs, and adapt the strategy accordingly, taking cognisance of the workforce and trends in the labour market, in relation to the relevant industry sector, based on the employment equity legislation.
- To link the workforce planning cycle with the strategic planning and budgeting cycle of the organisation, as well as talent management where appropriate.
- To prepare the budget for the labour force plan.
- To ensure sufficient supply and pool of suitably competent staff through sourcing staff and constructing the future supply of the right talents, in order to meet the organisational needs.

The workforce planning standard element should be applied taking into account all the other standard elements, with a specific focus on strategic HRM, talent management, learning development and HRM measurement. Its application includes (SABPP, 2014:54-59):

- Generation of a calculated and costed labour force plan with timeline, as required by the organisation’s strategic and functional planning cycles.
- Labour force scheduling..
- Recruitment

- Assessment and selection.
- Development and implementation of career advancement processes and programmes.

8.6.2.2 Standard 5: Learning and Development.

Learning and development is defined by SABPP (2014:60) as:

> …the practice of providing occupationally directed and other learning activities that enable and enhance the knowledge, practical skills and work place experience behaviour of individuals and teams, based on current and future occupational requirements for optimal organisational performance and sustainability.

Based on this definition learning and development is an approach used by the employers to enable the employees to improve their proficiency, so that they perform their jobs to the best of their abilities, as well as contributing to the organisational goals. Learning and development is different from other forms of training that focus only on personal development and not on work related aspects, since it is work related.

The objectives of this standard element are (SABPP, 2014:60):

- To produce a professionally skillful and engaged labour force, that creates organisational proficiency, affording the employees with prospects to develop new knowledge and talents.
- To focus learning and development plans on enhancing employees' capability to perform in order to attain organisational goals, as well as providing the means for evaluating the effect of learning and development interventions.
- To provide support and fast-track skills development and realisation of employment equity and organisational transformation, as well as eliminating the effect of skills shortage.
- To build a learning culture and environment that supports an ideal individual, team and organisational learning and progression in both proficiencies and behaviour.
- To capture and reproduce and develop critical knowledge within the

organisation.

- To ensure learning and development is a facilitator for continuous enhancement, change and innovation.

According to SABPP (2014:61-66) this standard element could be applied taking into consideration all other standard element, since it should be highly incorporated to other HRM functions. The application entails:

- Analysing the learning and development environment and formulating a learning and development strategy, as well as organisation plans that are in line with organisational objectives and culture, based on the results of the analysis.
- Recognising, selecting and implementing a unified approach, suitable learning and development interventions to meet the recognised organisational needs and afford employees to enhance new knowledge and proficiencies.
- Making sure that the learning and development function has the ability to be fully compliant with legislation and is fit for a suitable service delivery, and quality requirements.
- Evaluating the effect of learning and development in order to measure quality, alignment with strategy, and the effect on organisational proficiency.

8.6.2.3 Standard 6: Performance Management.

The SABPP (2014:67) defines performance management as:

> ...a planned process of directing, developing, supporting, aligning and improving individual and team performance in enabling the sustained achievement of organisational objectives.

Performance management is the management of employees' performance, and the process enables managers and employees to work together in setting performance goals, monitoring and evaluating the actual performance of the employees. This standard element is a responsibility of line managers, and is supported by HR through providing processes, procedures and systems (SABPP, 2014:68).

The objectives of this standard element include (SABPP, 2014: 67):

- To convert and cascade broad organisational performance drivers into team

and individual performance objectives.

- To generate a suitable performance management system, process and methodology relevant to the organisational requirements, size, scope and complexity that will sustain the development of a performance culture.
- To link performance management to other HRM processes, to align suitable performance consequences, such as, reward, recognition and developmental opportunities that appeal, maintain and inspire employees, and to address poor performance.
- To ensure reasonable, ethical and organisation cultural practices aiming at the accomplishment of performance objectives, such as, high performance culture, in a reasonable manner.
- To evaluate progress against agreed individual and team goals that enable the realisation of organisational goals.

Performance management standard element should be applied taking into consideration all the other standard elements, with specific reference to strategic HR management, talent management, HRM risk management, learning and development, organisation development, HRM service delivery and HRM measurement. This standard element's application includes (SABPP, 2014: 69-74):

- Basic principles for employee performance management processes, that entail: performance expectations, performance feedback, consistency and leadership.
- Performance management method and policy.
- Providing support to improve performance at individual, team and organisational level.
- Developing performance management proficiency throughout the whole organisation.
- Evaluating the effectiveness of the performance management system.

8.6.2.4 Standard 7: Reward and recognition.

The SABPP (2014:74) defines reward as:

> …a recognition strategy and system that enables organisations to offer fair and appropriate levels of pay and benefits in recognition for their contribution to the achievement of agreed deliverables in line with

organisational objectives and values.

This definition suggests that reward is an imbursement by the organisation made in recognition of the services provided by the employee to the organisation.

SABPP (2014:74) also describes recognition as: "…a related strategy and system that seeks to reward employees for other achievements through mechanisms outside the pay and benefits structure".

This description suggests that recognition is the acknowledgement by the organisation for other accomplishments by the employees, which does not involve monetary payment, for instance, gifts, vouchers to attend a football match, more responsibility, etc.

The objectives of this standard element include (SABPP, 2014:74):

- To formulate and implement a suitable reward strategy which is in line with the corporate strategy, organisation operating conditions, culture, aims and employment value proposition which drives the realisation of organisation goals, and accomplishes a reasonable equilibrium between the needs of all stakeholders.
- To deliver a reasonable and impartial reward system and an ethical, cost effective and acceptable process.
- To ensure the reward strategy is aligned to the existing national and global industry and segment standards.
- To ensure compliance with the organisational governance values and practices aligned to national and appropriate international governance codes of practice and relevant legislation.
- To formulate and implement a suitable recognition strategy which meets employees' needs for recognition of particular effort or accomplishments which are treasured by the organisation.

Reward and recognition should be applied taking into consideration all the other standard elements, but with specific reference to the strategic HRM, talent management, HRM risk management, performance management and HRM measurement. The application includes (SABPP, 2014:76-79):

- Designing a reward strategy and policy for the organisation that appeals, inspires and retains employees.
- Ensuring the reward strategy is in line with relevant statutory, governance and other directive requirements.
- Recognising and executing, practices, procedures and systems that permit the rewards system to function effectively. Aligning and incorporating reward with other HRM practices, for instance, performance review, for optimal effect.
- Developing thorough guidelines for all benefit schemes and establish internal or external benefit scheme management systems.
- Investigating, developing and applying a relevant recognition system.
- Communicating and training employees to ensure cognisance, understanding and approval of reward and recognition system.

8.6.2.5 Standard 8: Employee Wellness.

Employee wellness is defined by SABPP (2014:80) as:

> …a strategy to ensure that a safe and healthy work and social environment is created and maintained, together with individual wellness commitment that enables employees to performance optimally while meeting all health and safety legislative requirements, and other relevant wellness good practices in support of the achievement of organisational objectives.

Organisations are obliged by the labour legislation to provide a safe and healthy working environment, which would have a positive effect on the employees' ability to contribute to organisational goals. A safe and healthy working environment could only be achieved by means of employee wellness programmes. The employee wellness has the following objectives (SABPP, 2014:80):

- To support opportunities and guidance that assist employees to participate in effective management of their own physical, mental, spiritual, financial and social well-being.
- To assist the employer to manage all facets of employee wellness that may have a negative impact on employee's capacity to deliver on organisational goals, and to demonstrate the effect of wellness activities on the attainment of

organisational goals.

- To promote a safe and healthy working environment in pursuit of optimum efficiency and maintenance of human life and health.
- To minimise employee risk stemming from health and wellness issues.
- To reduce health and wellness costs.
- To improve the employment value proposition by means of encouraging a culture of individual health and overall organisation wellness.

Employee wellness should be applied with all the other standard elements in mind, but with particular emphasis on strategic HRM, HRM risk management, employee relations management, performance management and HRM measurement. Its application entails (SABPP, 2014:81-85):

- Formulating employee wellness strategy, policies and appropriate HRM procedures, unbiased to all employees, to support and manage wellness programmes and risks.
- Promoting awareness of the wellness policy, strategy and procedures of the organisation.
- Keeping statistical records throughout the organisation concerning all aspects of wellness and specific cases and incident analysis, and reporting to management in a value-adding manner, supporting the review effectiveness of wellness programmes and interventions in support of functional goals.
- Reflecting on flexible work practices and other alternative work arrangements to support work-life balance where possible.

8.6.2.6 Standard 9: Employment Relations Management.

Employment relations management is defined by SABPP (2014:86) as:

> …the management of individual and collective relationships in an organisation through the implementation of good practices that enable the achievement of organisational objectives compliant with the legislative framework and appropriate to socio-economic conditions.

Employment relations management involves the regulation of the relationship between the employers and the employees, and the purpose for this is to maintain

peace within the organisational environment. It is essential that line managers maintain sound employment relation with the support of HR managers (SABPP, 2014:87).

The objectives of this standard element include (SABPP, 2014:86):

- To generate a climate of trust, collaboration and consistency within an organisation and a pleasant and productive working atmosphere, that enables the organisation to compete effectively, in its market place and contributes to a respected reputation.
- To provide a structure for conflict resolution.
- To provide a structure for collective bargaining where relevant.
- To ensure capacity building and compliance to relevant labour legislation, codes of good practice and international standards.

This standard element should be applied taking into consideration all the other standard elements, with specific emphasis on strategic HRM, HRM risk management, employee wellness, performance management and HRM measurement. The application entails (SABPP, 2014:87-92):

- Formulating relevant employment relations strategies, policies, and procedures.
- Resourcing employment relations with relevant structures and staffing.
- Building trust and respect.
- Monitoring and evaluating the state of employment relations.
- Influencing employment relations to promote inclusion, promote and value diversity and prevent discrimination.
- Contributing to community development that improves the socio-economic environment of employees.

8.6.2.7 Standard 10: Organisation Development.

Organisation development is defined by SABPP (2014: 93) as:

> …a planned systemic change process to continually improve an organisation's effectiveness and efficiency by utilising diagnostic data, and designing and implementing appropriate solutions and interventions to measurably enable the organisation to optimise its purpose and strategy.

According to SABPP (2014:96) this standard element plays a significant role in defining an organisation's HR strategy by analysing the current situation in relation to culture and performance supporters/obstructers at organisation level, and enabling the development of a mutual view of the future. It also assists in the execution of the HRM strategy.

The objectives of organisation development are (SABPP, 2014:93):

- To create links with organisational purpose throughout all levels and functions of an organisation.
- To ensure organisation design
- Enable the purpose of the organisation.
- To develop the ability of individuals, teams, departments and functions to work supportively to meet organisation objectives and enhance commitment at work.
- To facilitate stakeholders participation in all organisation development processes to ensure optimum commitment.
- To create the appropriate organisation development competence to meet organisational needs.
- To ensure compliance with appropriate continuous improvement values and good practices.

Organisation development should be applied with all the other standard elements in mind, but with particular emphasis on strategic HRM, HRM risk management, workforce planning, employee wellness, performance management, learning and development and HR evaluation. The application involves (SABPP, 2014:94-97):

- Designing, developing and prioritising clear execution map, relevant responses to systematic issues (such as, problems or opportunities rooted in the functioning of part or all of an organisation) recognised by means of appropriate analytical methodologies.
- Focusing organisation development interventions by identifying the expected outcomes of the organisation development process and describing an efficient and effective method of evaluating accomplishment against those outcomes.
- Facilitating appropriate change and improvement activities in line with agreed organisational requirements.

- Designing, developing, implementing and maintaining employee communication process throughout the organisation.

8.6.2.8 Standard 11: HRM Service Delivery.

HR service delivery is defined by SABPP (2014:97) as: "…an influencing and partnering approach in the provision of HRM services meeting the needs of the organisation, its managers and employees which enables delivery of organisational goals and targets".

These are services provided by the HRM department to its internal customers, within the organisation, and they ensure the attainment of organisational objectives.

The objectives of this standard element include (SABPP, 2014:98):

- To ensure promptness, consistency, reliability and quality in the delivery of HR services, using resources effectively and evaluating and improving the HR services delivery.
- To ensure sustainability of HRM practices within the organisation.
- To support the effective management of human component in an organisation through the use of an effective HRM service delivery model and system.
- To provide effective expert advice and direction to managers and employees regarding the correct application of labour laws and other legislative requirements, HRM policies, practices and procedures.
- To generate operational standards for accurate HRM record-keeping and administration, developing and applying an end-user friendly administrative process and system enabling appropriate data management.
- To assess employee commitment on the one hand, and contentment with the delivery of HRM services on the other hand.

HR service delivery should be applied taking into consideration the other entire standard elements, however, with specific emphasis on strategic HRM, HRM risk management, employee wellness, employment relations, performance management, learning and development and HRM assessment. The application involves (SABPP, 2014:99-104):

- Formulating and applying HRM policies and procedures.
- Designing and implementing HRM system.
- Ensuring sufficient understanding of the role and responsibilities of HRM within an organisation.
- Generating appropriate communication channels with both management and employees to address related HRMM matters.
- Ensuring a manageable mechanism for understanding, promoting and ensuring compliance with all appropriate HR legislation.
- Defining the procedures and processes for creating HR service levels and client contentment.
- Providing independent expert oversight, direction and consultation pertaining to HR policy, strategy and organisational people practices and moral standards.

8.6.2.9 Standard 12: HRM Technology.

SABPP (2014:105) describes HR technology as:

> …the effective utilisation of technological applications and platforms that makes information real-time, accessible and accurate, providing HR and line management with knowledge and intelligence required for more effective decision-making, and that supports efficiency and effectiveness in other HR service.

HRM technology is the least well recognised function within HR management and, as such signifies the highest chance for performance development within HRM. This standard element is used by nearly all organisations in all or some of their HR transactional processes. It deals with minimum standards for using technology to facilitate delivery of HRM work, whether in reviewing and improving the current systems or in evaluating what an HR information system standard package can offer. This standard element's objectives include (SABPP, 2014: 106,107):

- To influence technology to allow easy access to relevant data (actual-time, self-service) in compliance with related data security and other information technology compliance necessities, laws, codes and standards (confidentiality); and to maintain efficiency and effectiveness in HRM functions (e.g. learner management systems and e-learning in Learning and Development); and to

generate more capability in current HRM frameworks to provide value-adding services and interventions.

- To communicate and inform the board or governing body, line management and executive committee meetings to support planning, decision-making and management of employees with full knowledge of possible people risks.
- To restructure the HRM System and its associated processes for effective and efficient use.
- To ensure that suitable information security principles, policies and practices are established and applied.
- To allow the effective application of change and developments to the technology solutions to ensure they remain constantly in line with the organisation's goals.

The application of HRM technology should be done taking into consideration all other standard elements, but with a specific focus on strategic HRM, talent management, HRM service delivery and HR evaluation. It is relevant to small individual systems or to the HRM model of entire ERP solutions which cover various functions within an organisation. It includes the following (SABPP, 2014:107-110):

- Producing a prioritised set of IT requests for HR applications (for improvements to current system or for selecting between multiple systems on offer for a new purchase).
- Developing a documented specification for each technology development request.
- Planning and applying approved developments.
- Assessing delivery of planned business development from the implemented developments.

8.6.3 HRM Metrics: Reviewing stage.

8.6.3.1 Standard 13: HRM Measurement.

HRM evaluation is defined by SABPP (2014:111) as:

> …a continuous process of gathering, analysing, interpreting, evaluating and presenting quantitative and qualitative data to measure, align and

benchmark the impact of HRM practise on organisational objectives, including facilitating internal and external auditing of HRM policies, processes, practices and outcomes.

The definition suggests that HR measurement is the evaluation of the entire HRM function, and establishing how it contributes to the organisational goals. The objectives of this standard element involve (SABPP, 2014:111):

- To establish evaluation approaches, methodologies and metrics to assess the effectiveness and efficiency of HRM practices.
- To recognise appropriate measurement areas for the purpose of incorporated reporting.
- To apply relevant tools and methods to evaluate appropriately the efficiency, effectiveness and consistency of HRM practices throughout the organisation.
- To provide a clear structure for evaluating the effect of HRM on the bottom-line of the organisation.
- To develop performance pointers for HRM service delivery and business effect and current to the organisation in a relevant HR scorecard.

HR measurement can be applied taking into consideration all the other standard elements, but with specific focus on strategic HRM, talent management, HRM risk management, performance management, learning and development, HRM service delivery and HRM technology. The application entails (SABPP, 2014;113-115):

- Developing an incorporated HRM evaluation and reporting structure.
- Establishing the management systems and resource the HRM function to gather and report on approved human management metrics.
- Designing and implementing and HR scorecard.

8.6.4 Improvement stage.

This comes after the evaluation has been conducted and the results indicating that there are some gaps in the HR performance, and if there are existing gaps, this would necessitate application of corrective measures.

Most of the HRM evaluation frameworks often focus on the regulation and compliance, and overlook the HRM function's effectiveness and contribution to the attainment of organisational goals. However, the SABPP HR System Standard model assists HRM professionals to demonstrate how the HRM function contributes to the achievement of organisational goals, and also provides the external validation of the organisation's HRM system's worth. It also integrates the HRM systems and services to the organisational goals, at the same time fulfilling the needs of its internal customers. This model provides external confirmation of the value of the HRM service to the organisation (SABPP, nd.).

9. BARRIERS TO EFFECTIVE HUMAN RESOURCE FUNCTION EVALUATION.

The process of HRM evaluation has significantly changed in past 25 years starting from human resource management evaluation to the tools used for evaluation (Adler, 2010). Cho *et al.* (2006) assert that the evaluation of HRM outputs are too complex to measure since they are usually assessed according to aspects like customer complaints, employee satisfaction, as well as customer satisfaction. Such evaluations reveal little effect of HRM function. Cho *et al.* (2006) further maintain that the results of the evaluation used to evaluate HRM departments are often too fuzzy to show the effect on the bottom-line. McLean (2005) also argues that HRM evaluation is more challenging to implement in a manner that the outcomes are generally accepted. The challenge of executing the evaluation and the resultant failures to include it have, in some circumstances, endangered its implementation.

According to Franklin *et al.* (2005), there are quite a number of barriers that are experienced by organisations in relation to the development, as well as the implementation of HRM evaluation. A study conducted in New Zealand identified three major obstacles to HRM evaluation in organisation as:

- Inaccurate HRM evaluation.
- The evaluation tools where too complicated to develop, and
- HRM professionals did not have adequate knowledge in the evaluation.

Lawler III *et al*. (2004) argue that HRM as compared to other departments usually provides inadequate tools for measuring its processes, as well as practices,

especially from a strategic point of view. Franklin *et al.* (2005) maintain that insufficient knowledge of various models of HRM evaluation and skills, and the deficiency in the design of evaluation models, have shown to be a restriction in the development of evaluation models, since it is unlikely that the problems could be resolved by employing other frameworks.

10. SUMMARY

This chapter discussed the concept of the evaluation of human resource management practices in-depth. The aim of this evaluation was indicated as the confirmation of the HRM function and its contribution toward the achievement of the organisational strategic goals (Becker & Huselid, 2003). In addition, the evaluation could also assist in the detection of organisational performance gaps, which will enable them improve their performance. Another discussion centred on the traditional role of the human resource function, which was an administrative function, and this indicated that the HRM function was not regarded as a component of the core business, but rather as an expense generator (Ramlall, 2003).

HRM practices, namely, recruitment and selection, compensation and benefits, training and development, performance management and industrial relations, also formed part of the discussion in this chapter. These were found to be some of the HRM practices that had an effect on organisational and employee performance (Dzansi & Dzansi, 2010; Lee & Lee, 2007), although some authors argued that there is no proof that they had an effect on high performance (Edgar & Geare, 2010; Wright *et al.* 2005). Various approaches to HR evaluation were also discussed as well as barriers to HRM evaluation. Three major barriers that were identified during a study conducted in a New Zealand organisation that were briefly discussed included inaccurate HRM evaluation; the evaluation tools that were too complicated to develop; and HRM professionals who did not have adequate knowledge in the evaluation. Other barriers that were discussed entailed inadequate knowledge of various models of HRM evaluation and skills deficiency in the design of evaluation models (Franklin *et al.,* 2005).

Chapter 3: Human Resource Management policies and procedures will be discussed.

CHAPTER 3
LITERATURE REVIEW
HUMAN RESOURCE MANAGEMENT POLICIES AND PROCEDURES (INSTITUTION A AND B)

1. INTRODUCTION.

In order to execute HRM practices, such as recruitment and selection, performance management, compensation, training and development, and employee relations, line managers need some form of guidance. A study revealed that line managers identified a necessity to have a clear overall HR policy that would assist them to know which HRM practice should be employed and how they should apply them at the functional level (Guest *et al*., 2013:92). Shi (2007:100) maintains that an established HRM function is usually comprised of policies, procedures and programmes for recruitment and employment, benefits, compensation, employee relations, training and development, employee safety, and strategic leadership. According to Hailey *et al.* (2005), the HRM Department's activities are clearly a crucial part of HRM policy endorsement. The intention is to ensure that HR issues are dealt with in harmony with the organisational values, as well as in relation to certain defined principles (Armstrong, 2009:988). For example, when recruiting and selecting new employees, the recruitment policy provides guidance on how this should be handled, to prevent misunderstandings.

2. HUMAN RESOURCE MAN AGEMENT POLICIES.

2.1 Definition of HRM policies.

Armstrong (2006:147) defines HRM policies as: "...continuing guidelines on the approach the organisation intends to adopt in managing its people". He further states that HRM policies describe the beliefs and standards of the organisation on how to deal with people, and develop rules from these beliefs and standards on how managers are supposed to perform when dealing with HR issues. HRM policies can be seen as statements of intent. To employees, the nature of the policies implementation indicates the degree to which management's aims are genuine and reliable (Skinner *et al.*, 2004).

2.2 The Significance of HRM policies.

These policies are critical in the operation of the organisation, since according to Armstrong (2009 988), they present generalised direction on how HR issues should be dealt with. They also symbolise the organisation's pre-determined aims, concerning the type of HRM programmes, processes and techniques it must implement (Wright & Boswell, 2002:263-264). According to Caruth *et al.* (2009:12), policies must replicate the essence, as well as the letter of the law, and practices must meet legal standards, which would ensure that employees are not disadvantaged.

Armstrong (2009:988) maintains that some of these HRM policies are influenced by management's beliefs and attitudes towards employees, articulated in the manner in which HRM matters are performed. Formal, clear policies, with regard to uniformity and comprehension, are beneficial and could offer the necessary guidelines. They could be utilised in the orientation of team leaders and management development to assist participants in understanding the organisational beliefs and values, as well as the manner in which they ought to behave within the organisation (Armstrong, 2006:147). This implies that HRM policies and procedures are necessary in organisations to guide and assist both managers and employees to know how they should behave, as well as do things within the organisation.

According to Grobler *et al.* (2006:14), such policies could allow management to construct HRM programmes in an incorporated and methodical manner, which would ensure that both management and employees have mechanisms in place to tackle any problems and pressures that may face the organisation. McConnell (2005:4) further states that, in order to accomplish their aim, policies and procedures need to:

- Be flexible in order to meet changing conditions.
- Conform to the country's labour laws and regulations.
- Concur with one another and reveal a reasonable and impartial approach to workers.

Based on the parameters set by different authors mentioned earlier, it is clear that HRM policies play a significant role in organisations. They provide an insight on how

managers and employees should behave and do things within the organisation, which is turn, would lead to prevention of misunderstandings.

2.3 Steps in Formulating HRM policies.

Rao (2005:37,38) suggests the following steps in the formulation of HRM policies:

2.3.1 Phase 1. Recognising the Need:

Firstly, all significant functions of HRM should have clearly formulated policies and procedures.

2.3.2 Phase 2. Gathering Data:

This phase takes place after the main concerns have been outlined. The data-gathering process could commence, prior to policy formulation, by looking into the organisation's records, former practices, investigation of industry practices, experience of employees handling numerous matters, top management values, organisational culture, worker motivation and the evolving economic, social and legislative situation.

2.3.3 Phase 3. Identifying Alternatives:

The gathering of appropriate data should be followed by clearly specified policy options, which should be cautiously assessed, in relation to their contribution to the organisation's goals. There should also be an involvement of people from various levels, particularly those who would be implementing the policies.

2.3.4 Phase 4. Communicating the Policy:

In order for the formulated policies to be implemented at different levels, they need to be communicated throughout the organisation. This could be achieved through the use of policy manuals, internal journals, as well as holding discussions with employees at different levels.

2.3.5 Phase 5. Assessing the Policy:

For policies to be effective, they must be revised, assessed and constantly regulated against certain recognised values. The evaluation would assists in defining changes in the current policies. These policies may be reviewed through the involvement of all employees. This evaluation may require the involvement of external consultants from other organisations. All policies should be revised annually, while some should be reviewed at particular times. For example, the Employment Relations Policy should be reviewed particularly when there are pressing issues that necessitate change (Rao, 2006:37,38)

2.4 Common Statements of HRM policies.

Beliefs expressed in a common statement of HRM policies may evidently or effortlessly refer to the following concepts (Armstrong, 2009:58; 2006:149):

2.4.1 Equity.

- Treating employees impartially and honourably by adopting a uniform approach.
- Protecting them from any biased decisions made by their superiors.
- Providing equal opportunities for employment and promotion, while operating equitable payment schemes.

2.4.2 Consideration.

Ensure that individual situations are taken into consideration when making decisions that affect the prospects, security or self-respect of employees.

2.4.3 Organisational learning.

Faith in the necessity to encourage the learning and development of all the members of the organisation by providing the processes and support required.

2.4.4 Performance through people.

- The significance involved in developing a performance culture, and constant development.
- The importance of performance management as a way of describing and approving reciprocal expectations.
- The provision of reasonable feedback to people on how well they are performing.

2.4.5 Work-life balance.

Encourage employment practices that allow employees to balance their work life, with their personal responsibilities.

2.4.6 Quality of working life.

- Deliberately and constantly aiming at developing the quality of working life.
- This includes increasing the contentment people get from their work by minimising weariness, increasing diversity, independence and accountability; and avoiding putting people under too much pressure.

2.4.7 Working conditions.

Provide healthy, non-violent and feasibly enjoyable working conditions.

3. VITAL ISSUES TO BE CONSIDERED WHEN DEVELOPING A POLICY.

3.1 Introduction.

Policies, like other organisational legal documents, have weighty issues to be taken into consideration prior to their development. According to McConnell (2005:4) the HRM policies and procedures need to provide unambiguous and reliable statements concerning all conditions of employment, as well as procedures for their equivalent and reasonable execution. Grobler *et al.* (2006:14) argue that the most critical

matters often faced by HR management that need to be considered when creating vital HRM policies, are employee influence, personnel flow, and work organisation. These are discussed below:

3.2 Employee Influence.

More organisations create policies that describe the degree and span of the impact of employees on the management of the organisation, as a result of joint employee-employer relationships and other forms of employee involvement. Such policies state the extent of the authority and accountability entrusted to employees and employee groups, and the manner in which those relationships may most effectively be institutionalised (Grobler *et al*., 2006:14).

3.3 Personnel Flow.

Attention must be paid to the task of making sure that the management of people within the organisation meets the long-term needs and aspirations of the organisation concerning the number and types of human resources. Subsequently, resolutions with regard to selection, promotion, job security, career development and advancement, fair treatment and termination, must be made with regard to profits, growth and other critical issues (Grobler *et al.,* 2006:14).

3.4 Work organisation.

Work organisations mainly deals with how the job is designed, how tasks and technologies are outlined and arranged, the number and types of choices that people make, and the degree to which the quality of work life is a significant organisational goal. Policy choices that impact on job organisations entail the type of technology employed and the manner in which work is broken into components (Grobler *et al.* 2006:14).

Aswathappa (2005:14,15) highlights five key sources that need to be considered when determining the content and meaning of policies as follows:

- Previous practice in the organisation.

- Predominant practice in competitor organisations.
- Attitudes and values of the founders of the organisation as well as its directors and top management.
- Attitudes and beliefs of middle and junior management.
- The knowledge and experience gained from the day-to-day handling of numerous employees' problems.

4. THE PURPOSES OF HRM POLICIES.

All policies are designed to ensure equality and fairness to all employees who are covered by them. They are ruled by the assurances preserved in the Constitution of the country, which is the foundation of many labour laws. The purpose of HRM policies is to establish the necessary HRM and provide on-going guidelines and comprehensive guidance outlining how particular traits of HR should be used and implemented (Armstrong & Taylor, 2014:36; Armstrong 2010:57). These policies are essential to ensure that matters regarding Human Resource Management are frequently handled in line with the organisation's values on the manner in which employees should be treated (Armstrong (2010:57; Saiyadain, 2009:5). McConnell (2005:61) also asserts that the purpose of HRM policies is to make sure that the organisation conforms to the proper national, governmental and local labour laws and regulations. Policies provide uniformity in handling related issues, enhanced communication of policy issues, regulation of labour costs, prevention or response to administrative claims and lawsuits, compliance with government regulations, and allocation of routine workforce decision to supervisors and managers (Vallabhaneni (2013:226).

McConnell (2005:1) further highlights several purposes of HRM policies and procedures as follows:

- Provision of clear communication between employees and the organisation concerning the conditions of employment.
- Outlining grounds for providing equal and reasonable treatment of all employees in the organisation.
- The provision of guiding principles for supervisors and managers.
- The provision of a foundation for the development of the employee handbook

and its impact on employees.

- To further provide an outline for supervisors' training programmes and employees' induction programmes.

5. THE BENEFITS OF HRM POLICIES.

Costin (2008:96) argues that an integrated HR policy unifies the crucial information that permits planning, recruitment, selection, career management, training, performance reviews, redeployment, advancement, dismissal and termination of employees in the organisation.

Various authors assert that organisations could benefit and maintain their success if they stuck to the guidelines outlined below (Costin, 2008:96; Aswathappa, 2005:14,15; Hiltrop, 2005):

- Sustain a high level of uniformity between the organisational strategy and HRM practices.
- Develop a culture of transparency, collaboration and allocating tasks.
- Construct HR potential into the tasks and attitudes of every manager.
- Generate numerous opportunities for learning and growth, supported by individual training and guidance.
- Render management obliged to give thorough consideration to the necessities of both the organisation and the employees. Be management that scrutinises its basic beliefs and gives consideration to the fundamental practices in other organisations.
- Be grounded on policies ensure the consistent treatment of all employees throughout the organisation, which reduces preferential treatment and discrimination.
- Ensure continuity of action is guaranteed even though top management changes. Although top management may have sound Human Resource Management values, know the policies by heart and apply them in a completely fair manner, they may resign or retire one day. However, the organisation will continue to exist and policies should ensure that there is stability and sustainability of the organisation.
- Policies function as a performance standard. Real outcomes can be equated to

the policy in order to establish how well the employees are living up to the professed goals.

- Established policies assist in creating employee inspiration and devotion, specifically where the policies replicate sound principles of fairness and impartiality, and where they assist employees in developing within the organisation.
- Sound policies assist in resolving intrapersonal, interpersonal and intergroup clashes.
- It provides overall management guidance for managing human resources, together with the selection and advancement of employees with suitable work-related competences, to accomplish the organisation's strategic goals.
- It provides management with a clear direction for making vital decisions concerning employees, with due respect to the labour law, labour agreements and the philosophies of uniformity and impartiality.
- It provides the departments and divisions within the organisation with the essential guidance for developing and executing human resources procedures, recognising the role of the HRM department in this effort.

6. THE LIMITATIONS OF HRM POLICIES.

Besides the benefits that HRM policies bring to the organisation, Human Resource Management policies are not exempt from various limitations. The limitations below are outlined by various authors:

- HRM policies have their own restrictions in the sense that they can influence, but not command, key intervening aspects, such as preferred behavioural reactions from employees or the stock of human and social resources accessible to the organisation (Chartered Institute of Personnel development, 2000:66).
- HRM policies also have shortcomings that include being inflexible, invaluable, monotonous or all three. They may become unsuitable if they are not strengthened by the organisational culture (Armstrong, 2006:148).
- Linking HRM policies to corporate strategy usually calls for employment costs to be reduced, rather than treating employees as a cherished resource (Kirton & Greene, 2010).

- Policies and practices frequently adopted by management are not always endorsed. Although they are approved, they are not constantly observed by employees as having an inspiration on their work attitudes and behaviours (Bamberger *et al.*, 2014:40).

7. REASONS WHY HRM POLICIES FAIL.

Although the majority of organisations may have the best HRM policies in their possession, this does not mean that they would achieve their intended purpose. Some of these organisations HRM policies fail to achieve their purpose. This is confirmed by different authors when they maintain that there are various reasons that lead to the failure of HRM policies. Some of these reasons are outlined below:

- Parker *et al.* (2004:199) state that a research study revealed that the higher rates of policy execution and application failures suggested that there was a profound problem relating to implementation and execution. As such, there were no practical means of implementing the policy, as Human Resources were lacking and employees did not understand the significance of the policy.
- There are a few organisations that implement Human Resource policies and practices effectively. However, despite the clear proof in support of the benefits organisations receive from effective HRM practices and policies, some organisations fail to embrace these practices and policies (Kandula, 2003:35).
- Comprehensive policies are frequently perceived as problematic as they can lead to misunderstandings. Sometimes, they are totally disregarded by employees who are unwilling to take the time to comprehend the complexities of these documents (Cerra *et al.,* 2013:85).
- Kandula (2005:113) argues that failure to implement HRM policies is caused by a lack of awareness. A basic absence of understanding and awareness of these HRM policies places the organisation at substantial risk of organisational misperception, lost business and even litigations (Cerra *et al.,* 2013:85).

Organisations that rarely embrace HRM policies consistently exhibit a lower morale and a faulty selection of employees. They score lower on productivity and higher on cost-cutting as antecedents to downscaling, suggesting that poor HRM almost certainly implies higher crisis-proneness (Sheaffer *et al.*, 2003). In order to achieve

extreme compliance and recognition of these policies, HR leaders should make the language simpler so as to clarify the policy and its reasoning (Cerra *et al*., 2013:85). The policies should also be designed with the environmental aspects and stakeholder concerns in mind. HRM policies and practices should be goal-oriented, mindful of employees' commitment and skills development, and should also adhere to cost effective techniques (Kandula, 2003:3).

In order to maintain the effective implementation of HRM policies, organisations need to ensure that all stakeholders within the organisation are aware of these policies and that they understand them in order to embrace them.

8. FACTORS IMPACTING ON HRM POLICIES AND PRACTICES.

8.1 Influence of internal and external Factors on HRM policies.

HRM polices are not immune from factors that could influence them. These factors could either be internal and/or external to the organisation. Internal factors in this regard refer to aspects generated within the framework of the organisation, while external factors refer to traits beyond the scope of the organisation. Friedman and Miles (2006:296) maintain that Harvard's Map shows that HRM policies were influenced by stakeholders' interests, from which HRM policies should be based (Beer *et al.*, 1984). There are also situational aspects to be considered, such as labour market conditions, the quality and enthusiasm of employees, management styles, production technologies, working techniques, the kind of ownership and to who management are responsible. These aspects might restrain the improvement of HRM policies and be influenced by them. An empirical study by Sparrow and Budhwar (2008) cited by Dowling *et al*. (2008) also revealed that Indian HRM policies and practices were still very much influenced by castes, social relationships and politics.

8.2 Internal Factors.

Some of the internal factors that impact on HRM policies include (Armstrong, 2011:20,21):

- The kind of organisation.
- The size of the organisation.
- The age and maturity of the organisation.
- The know-how or fundamental activities of the organisation.
- The type of workforce, for instance, qualified employees, information workers, technicians, administrators, production workers, sales and customer service employees.
- The financial situation of the organisation.
- The organisational culture as well as the national culture.
- The political and social environment within the organisation.

8.2.1 Organisational Structure.

To ensure that organisational goals are met, this necessitates the establishment of an organisational structure that could either be leaner and flatter or tall. The structure forms a linkage of connections between employees and positions within the organisation (Armstrong, 2006:26; Rao, 2005:75). The changes that take place in the organisational structure and strategies, have an influence on the HRM policies and practices, and the amendment of these policies and HR processes, in turn would also create new policies and HR processes (Vance, 2011:82,110; Aswathappa & Dash, 2008:78). Durai (2010:57) asserts that the organisation structure tremendously impacts on HRM policies in the sense that it helps when deciding on the ideal number of subordinates for each manager. HR managers profoundly depend on it while determining HRM policies and practices, such as compensation and rewards management, promotions and training. These need to be well thought-out within the framework of the related organisational structure.

8.2.2 Organisational Culture.

An organisational culture is defined as “the way we do things around here”, (Lundy & Cowling, 1996) this distinguishes the organisation from other organisations. It is the method in which an organisation conducts its operations. This provides an internal environment within which HR activities are established and executed. Many research studies have revealed that the strength of the organisational culture has a positive

influence on HRM policies, the organisational structure and the financial structure (Durai, 2010:57). HRM policies, systems and practices that are linked with the organisation's culture can make a major contribution, especially when an organisation wants to maintain its culture and is operating across various locations around the world. Kusluvan (2003:44) also argues that an organisational culture has an influence on the forms of HRM systems and practices, and these, in turn, impact on the employees' attitudes and behaviours, which also influence the effectiveness of the organisation.

8.2.3 Technology.

Armstrong (2006:24,25) asserts that one of the major factors that impact on HRM policies and practices is the technology of the organisation. This has a significant influence on how the work is structured, managed and performed within the organisation. When a new technology is introduced, it may result in extensive changes to the system, processes and skills necessary to perform the work. Tyson (2006:91) also maintains that some of the numerous variables that impact on a variety of HRM policies, selected in support of specific business strategies, entail: the size and technology employed in the service, or production that defines the work-related clusters to be engaged; how they will be prearranged, and the labour concentration of the organisation that defines the sort of work; the industrial relations background, which defines the actions employed for determining pay rates, introducing changes and the form of decision-making to be implemented.

8.3 External Factors.

8.3.1 Competitive Pressure.

Parry and Tyson (2014) assert that global circumstances necessitate organisations to adjust their HR structures, policies and practices in reaction to normative, forced and simulated isomorphic influences, as well as competitive pressures. According to Budhwar and Bhatnagar (2009:97,98), an increase in competition and pressures on productivity, quality or costs of employment at both a nation-wide and a global level, have been identified as influencing HRM policies and practices in a cross-national

environment. Clientele also have more demands as a result of global competition, which has emphasised the importance of an integrated method to the improvement and execution of HRM policies and practices (Armstrong, 2006:25).

8.3.2 Labour Unions.

Zheng (2013:43,44) maintains that government, labour unions, industrial and professional bodies are also players who embrace crucial management resources aimed at influencing the course of management policies and practices. These unions exert a powerful influence on employers and help shape HRM policies and programmes for their members (Grobler *et al.*; 2006:11). A study revealed that managers in India alleged that labour unions initiated the terms and conditions of particular agreements, and that they had a significant effect on their HRM policies and practices (Budhwar & Bhatnagar, 2009:101). According to Deb (2009:57), labour unions influence organisations in numerous manners. This is because management in unionised orgarnisations have limited options and flexibility in the application and management of HRM policies and practices, since most terms and conditions of employment, including compensation and benefits, working conditions and employment security, are governed by a collective agreement.

8.3.3 Legal Environment.

Durai (2010:50,51) maintains that the legal environment factors, which include the predominant legislation, mostly impact on the HRM activities. In fact, a country has numerous acts that protect the rights and circumstances of employees, as well as managing the employer-employee relations. Equally, it has particular authorised requirements for the payment of salaries, working circumstances and the handling of disputes (in the South African context, this entails the Labour Relations Act of 1995 and the Employment Equity Act of 1998). A study revealed that the majority of managers alleged that the national labour laws impacted their HRM policies and practices greatly, since they restricted the activities that could be executed (Kaufman, 2014:230). According to Stahl and Björkman (2006:465), labour laws influence HRM policies in that, the indigenous labour laws and regulations in multinational corporations confine a variety of possible HRM practices. Local

managers have taken for granted good management practices that influences the policies and practices**.**

To ensure the effective development and execution of the HRM policies requires that the organisations must take into consideration both these internal and external factors that impact on them (Kirton, & Greene, 2010).

9. HRM POLICIES APPLIED TO SELECTED HRM FUNCTIONS.

9.1 The HRM System.

An HRM strategy builds an HR system comprised of policies and practices, intended to build and sustain a pool of people with the required skills and capabilities (CCH, 2010:38). According to Schmitt (2012:56), this system defines the direction of particular HRM practices through the development of HRM policies, which present common guidelines for transforming these systems into activities. A study conducted by Katou and Budhwar (2009) revealed that HRM policies are controlled by business strategies as well as the organisational culture.

The HRM strategy describes the route through which HRM proposes to pursue its key areas of action, while HRM policies present procedures describing how particular HR factors should be applied and executed. HRM practices are particular forms of intervention that the organisation undertakes to support its HRM policies, which encompasses actions involved in the management and the development of employees. These integrated and equally supportive HR activities and practices facilitate the realisation of HRM objectives (Armstrong & Taylor, 2014:36; Schmitt, 2012:56).

Yu and Cable (2014:13) maintain that HRM policies provide particular operational steps developed by the HRM function to attain the HR strategy. HRM practices signify particular activities applied by the function to realise the HR strategy and policy. For instance, the HRM function might suggest a strategy in support of an organisation’s goal to attain greater organisational improvement. The function could design policies that support the strategy. The recruitment and selection policies and

practices could be viewed as integrated (Harzing & Pinnington, 2011) in that, recruitment would ensure that it is possible to obtain the number and sort of people required to ensure the sustained operation of the organisation, while the recruitment policy stipulates the objectives of recruitment and presents a structure for the execution of the recruitment programme (Sahu, 2010:2,6).

9.2 HRM policies and Procedures.

A fully developed HRM function usually encompasses policies, procedures and programmes for recruitment and employment, compensation and benefits, employee relations, training and development and performance management (Shi, 2007:100).

9.2.1 Recruitment Policy.

9.2.1.1 Introduction.

According to Kleynhans *et al.* (2009:169), any organisation should have the necessary guidelines prior to the commencement of recruiting. These guidelines serve as the policy and procedures of the organisation. They point in the right direction and assist in detecting typical problem areas in recruitment and selection systems. Bhattacharyya (2009:195) maintains that the first critical task for the recruitment function is to structure a recruitment policy that necessitates and evaluates the recruitment of employees, and it must be sustained by an effective labour forecast.

According to Khurana *et al.* (2010:67), organisations should adhere to the recruitment policy when recruiting employees. Stone (2011:192, 93) maintains that it provides the framework for recruiting action, and reflects the organisation's recruitment objectives and culture, as well as specifying the overriding principles to be followed by management in general, and by the HR manager in particular. Kleynhans *et al*. (2009:169) further states that the policy replicates the organisation's strategy and usually entails information on the following features:

- Whether the organisation will employ internal or external recruitment.
- Whether the relatives of current employees may be employed.
- If the organisation will make use of part-time or any type of flexi-time workers.

- If there would be employment of people over retirement age.

9.2.1.2 Characteristics of an Effective Recruitment Policy.

Cascio (2010:226) maintains that the recruitment policy should clearly outline the organisation's aim to assess and screen candidates without considering elements like race, gender, ages or disability. A clear recruitment policy serves as a guide for bringing the new incumbent into the organisation, and it also ensures that the process is direct and saves time. It explains what management and employees expect of each other (Sharma, 2009:140).

Khurana *et al.* (2010:67,68) further provides characteristics of an effective recruitment policy as follows:

- The recruitment policy should be faultless, understandable and all-inclusive.
- It must be in compliance with the broad HR policy.
- It should be linked to the current and future requirements of the organisation.
- It should state whether or not the recruitment would be centralised.
- It should be clear with to internal or external sources of recruitment.
- Potential employees should not be given any guarantee on behalf of the organisation at the time of recruitment.
- Recruitment should be based on merit.
- The recruitment policy should be structured based on the recruitment policies of other organisations, as well as the government’s.
- The policy relating to promotions and transfers should be distinctive and understandable.
- The recruitment policy should be flexible to accommodate change in order to attain the organisational objectives.
- It must guarantee the attainment of individual objectives together with the employment objectives.
- The policy should be dynamic in order to uphold proper synchronization between the employee’s ability, type of the employee’s capacity, as well as the type of job.
- It should also contain preferences, such as clearly stating that people from disadvantaged communities or with disabilities would be given first preference.

Kleynhans *et al*. (2007:83) maintain that the recruitment policy comprises certain traits that all people involved in recruitment should agree on:

- Legal requirements that will ensure that all employees are treated impartially and without discrimination. An example of this is the Labour Relations Act No. 66 of 1995, which serves as a guideline.
- Trade unions may also have certain rules and procedures on recruitment.
- If the organisation has an inadequate budget, recruiting people with inadequate financial resources, may impact on the recruitment procedures and the resources they select.
- How speedily a vacant position needs to be filled
- The organisation's view on workforce planning: When there is a vacant position, the organisation would either choose to first promote from within the organisation or advertise the position externally. Decide whether to employ relatives of the employees currently working in the organisation. Decide on their position regarding employment of individuals with infirmities.
- The department or person responsible for executing these policies and procedures.

9.2.2 Selection Policy.

9.2.2.1 Introduction.

Employee selection is a crucial activity because it enables the organisation to acquire skilled, hardworking employees who have an effect on the productivity and profitability of the organisation. The main aim of the selection policy is to provide guidelines on selection procedures that would assist managers to choose qualified employees while at the same time avoiding litigation. The policy would ensure that there is uniformity in the selection of employees, and that supervisors are able to make betters selection decisions (Vallabhaneni, 2015:330; 2013:227). Mills *et al.* (2007:99) also argue that the purpose of the selection policy is to employ the best qualified applicant and promote a completely effective and reliable approach to meet the organisation's needs.

9.2.2.2 Reasons why Selection Policies are Necessary.

The selection programs are probably one of the most policy-oriented of all the HR programs and practice. The main reasons for this are because (Farr & Tippins, 2013:227):

- The employment selection and organisations are controlled by local laws in numerous countries. As a result, these orgarnisations are very likely to formulate policies that support compliance with legal requirements.
- Employment selection is a high-prized process and the decisions taken have substantial prices for people on both sides of the decisions, since they care a lot about these decisions and their interests sometimes clash. As such, the selection policies are frequently employed to regulate these interests and the consequences for people.
- Employment selection is about a rare, but valued, resource. When a competent person is selected into one position by a particular department, this means that he/she cannot be selected by other departments because he/she is no longer available. Therefore, numerous organisations have found that a selection policy is necessary to direct managers' access to candidates and candidates' access to positions.

9.2.2.3 Characteristics of an Effective Selection Policy.

Stone (2010:237,238) outlines factors that need to be considered when developing the selection policy:

- Equal employment opportunity: The organisation's approach towards employing women, disadvantaged groups, older employees, people with disabilities and the selection standards.
- Quality of people: Whether the organisation wants to employ institution graduates or high school graduates, as well as indicating how the candidate's competency will be measured. The organisation could place the significance on cultural fit and outlook, technical competency or academic qualification.
- Source of people: Whether the organisation wants to promote internally, or both internally or externally. They could depend entirely on external sources, or produce applicants locally or transnationally.

- Management roles: They mention a person making a final decision on the employment. They also state the role of the HRM department, the line manager's role and the degree to which a senior executive is involved.
- Selection techniques: An indication whether multiple interviews, psychological tests and assessment centres would be used for executive selection. They should state how particular competences would be measured, whether all applicants would be required to undergo a medical assessment or whether a basic HIV/AIDS testing would be done.
- Employment consultants: Whether the organisation would engage the services of employment agencies, management recruiters or executive search consultants, and for which positions. This factor would include a person responsible for choosing the consultant.
- Industrial relations: This indicates whether there are trade union limitations or membership requirements concerning the employment.
- Legal issues: Whether there are any legal limitations, requirements or employment of particular methods, and whether these selection methods and processes fulfill all the employment equity opportunity and confidentiality requirements.
- Organisational strategic business objectives: Whether the organisation's selection policies and practices are in agreement with the organisation's core corporate objectives. The selected candidates possess the personal traits, competences, knowledge, capabilities and formal qualifications sort by the organisation's core corporate objectives.
- Costs: The cost factor includes the budget and the person responsible for the payment of costs, whether it is the HRM department or the line department, as well as the person authorising the payment.

9.2.3 Compensation and Rewards Policy.

9.2.3.1 Introduction.

According to Kamoche *et al*. (2013:29), there are various compensation structures and compensation policies employed by organisations. The private sector compensation methods vary from government payment methods, in the sense that

the private sector payment is governed by the type of work, the capability to pay, and the labour market influences. Kamoche *et al.* (2013:29) further assert that the government has provided constitutional structures like the Income Policy and the Employment Act to direct payment arrangement in the private sector. It has also made provisions to ensure that low income employees are not disadvantaged, such as minimum wage and other compensation policies to reduce the discrepancy between the public and private sectors. According to Armstrong and Murlis (2007:43), compensation policies serve as guidelines for executing business and HR strategies as well as a blue print for the administration of compensation processes.

9.2.3.2 Characteristics of an Effective Compensation Policy.

Armstrong (2009) maintains that the compensation and reward policy could cover such matters as:

- Ensuring that employees receive a reasonable compensation system.
- Equivalent pay for a job of equivalent value.
- Compensating performance, ability, talent or input.
- Partaking in the achievement of the organisation (profit-sharing).
- The correlation between the organisation's levels of salaries and market Rates.
- Offering employee benefits and flexible benefits if appropriate.
- The importance attached to non-financial remuneration stemming from appreciation, achievement, independence and prospects of advancement.

Armstrong and Murlis (2007:43) also highlight what should be covered by these policies as follows:

- The level of compensation.
- How comparative compensation is to market rates.
- Whether it is appealing and can lead to the retention of employees.
- The correlation of compensation to organisational performance.
- The total compensation policy.
- The extent to which utilising conditional compensation is associated with performance, proficiency, input or expertise.
- Integrated policies.

- The extent of necessary elasticity.
- The responsibility of line managers.
- The necessity to include employees in the development of compensation system.
- The necessity to convey compensation policies to employees.
- The clear dissemination of information regarding the compensation structures and procedures to the employees.

Kandula (2006:61) provides a list of what should be contained in a compensation policy as follows:

- The aim of the compensation.
- A compensation outline consisting of basic salary, adjustable salary, performance-based compensation, as well as information on indirect compensation.
- The procedure for reaching performance-based compensation.
- Non-financial kinds of compensation, and the process for permitting the compensation.
- There must be an indication as to how compensation is connected to these two significant features:

  The extent to which a compensation function supports the organisational goals, and the degree to which compensation objectives are modified to the aims of the organisation.

  As a component of the performance management strategy, the compensation policy must consider the extent to which performance-based compensations and non-financial compensations are intended to uplift performance levels, resulting in improved business.

9.2.4 Performance Management Policy.

9.2.4.1 Introduction.

Performance management requires a clear policy on measurement and assessment for managing the diverse functions and their performances (Ongaro *et al*., 2011:245). According to De Lancer *et al*. (2008), besides assessing performance, performance

management also deals with how to utilise performance information in policy and administration. There should be a general statement about the way in which performance management would contribute to the organisation's commitment to high performance through supporting its employees in the tasks they undertake. The policy should also clarify which employees would be covered by the policy (Dean, 2013).

9.2.4.2 Contents of Performance Management Policy.

The contents of a performance management policy include the following (Baldwin, 2003:105-111; Dean, 2013):

- An introduction which contains the organisation's conviction to provide all staff with meaningful performance evaluations.
- The general statement concerning the way in which performance management would contribute to quality performance.
- The purpose of the performance management programme.
- The roles and responsibilities of employees and supervisors.
- The significance for employees to understand the goals, duties, competencies, performance standards and expectations on which they would be reviewed.
- The supervisor meetings with employees to discuss and agree on employees' goals and duties, which would form the foundation of the employees' performance evaluation.
- Regular feedbacks from the supervisor.
- The supervisor is required to complete a written annual evaluation for each employee.
- Recognition of employee performance.
- The annual cycle.
- Provision for employees who are dissatisfied.
- Records retention.

9.2.5 Training and Development Policy.

9.2.5.1 Introduction.

The training and development policy expresses the organisation's commitment to the continuous development of the skills and abilities of employees, in order to maximise their contribution and provide them with the opportunity to enhance their skills, realise their potential, advance their careers and increase their employability both within and outside the organisation (Armstrong, 2014:61; 2009:988). Larger organisations value training and development policies because they ensure that employees, from every rank in the organisation, know the set organisational conditions, as well as their duties and privileges (Barrett, 2003:14).

9.2.5.2 Characteristics of an Effective Training and Development Policy.

According to Barrett (2003:14), the training and development policy should contain the following statements:

- A statement indicating the organisation's obligation to training and development, as well as assistance with the financial preparation activity.
- The number of days each employee is allocated for training.
- The amount of money the organisation is prepared to spend annually on each employee for training purposes.
- The reward to the organisation for having the policy in the organisation.
- The reward of training and development to employees and the organisation.
- The duties of different employees with regard to training and development.
- Individual development, such as each employee's duty within the organisation.
- The organisation's pledge to recognise and remunerate better performance.
- An inventory of training and development techniques used in the organisation.
- Amenities for training during office hours.
- Regulations pertaining to paid or unpaid leave for training and development purposes.

According to Nel *et al.* (2004:433), the training and development policy should reflect the rationale behind the organisation's willingness to invest in the development of its

employees, from a strategic and an operational perspective.

9.2.6 Employee Relations Policy.

9.2.6.1 Introduction.

According to Bendix (2010:19), in order for an organisation to function efficiently and regularly, it needs to have a commonly known structure, which manages the conduct of the parties involved in the employment relationship, referred to as the labour relations policy. This outlines the values given by the organisation regarding certain tasks within the organisation. These guidelines should be followed when creating recruitment, selection, payment and training structures, as well as when formulating labour relations policies and programmes (Kamoche *et al.,* 2013:27).

The employee relations policy sets out how the organisation would approach employee rights and how their interests would be presented to management through trade unions, employee associations or other representative systems. It would also cover the grounds on which the organisation works with trade unions, for instance, stressing the fact that they should be treated as a partnership (Armstrong, 2009:988). This policy ensures that labour relations issues are handled with impartiality. Although this policy is drawn up by the Industrial Relations Practitioner, it is executed in consultation with management and employee representatives in some cases. Its effective implementation could be achieved when there is a broad collaboration among the stakeholders (Bendix, 2006:18).

Bendix (2010:19) further stresses the significance of the policy, since it informs all stakeholders of the conduct anticipated in certain situations. Hence, it spells out how employees should conduct themselves in all features of the employee/employer relationship, regarding the handling of discipline within the organisation.

9.2.6.2 Characteristics of an Effective Labour Relations Policy.

According to Salamon (cited by Bendix, 2010:317) an effective labour relations policy should entail the following:

- Managerial convictions pertaining to management's prerogative to manage the organisation by making functional decisions, their objective to bargain without pressure from trade unions and their prerogative to directly communicate with their members.
- The connection between the employer and the employees, an acknowledgement of the employees' worth in the organisation, as well as their prerogative to refer their grievances to management and belonging to a trade unions for representation. The foundation on which trade unions would be acknowledged for collective negotiations, acting on behalf of their members, and management's aspiration to create an atmosphere of shared approval, reliance and teamwork within the organisation.
- The establishment of the provisions and stipulations of employment through suitable, acknowledged structures of mutual discussions and negotiations; the decreasing of expenses through improved productivity; upholding reasonable, even-handed compensation structures that pay for a job's worth to an organisation, as well as the employee's competence; and the aim to be bound by the agreements accomplished within any acknowledged collective negotiation.
- Employment must be implemented so as to ensure that an organisation is equipped with qualified and skilled employees for its requirements, consistent with the safeguarding of an individual employee’s employment.
- The processes for prompt problem solution in a reasonable manner, contributing to employee involvement and shared decision-making, as well as the degree to which the procedures for conciliation and arbitration may be employed.

Human Resources is responsible for setting the platform for actions that are suitable, beneficial and permissible in a workplace, while the organisation is charged with outlining, producing and communicating the policies that regulate the workforce (Cerra *et al.,* 2013:85).

10. COMMUNICATION OF HUMAN RESOURCE POLICIES WITHIN ORGANISATIONS.

10.1 Introduction.

Communication is a vital component of any change management programme since it enables management to inform employees of any issues of interest (Armstrong, 2009:950). One of the HRM contributions towards the success of an organisation is to communicate HRM policies to all the employees within the organisation (Ivancevich, 2007:12; Aswathappa, 2005:22). In order to enable employees to understand them, these policies and procedures need to be clearly communicated to employees (McConnell 2005:4). Armstrong (2009:950) further maintains that management and individual managers should communicate basic conditions of employment, training and development opportunities, goals, strategies and policies of the organisation, to employees.

10.2 Techniques for Disseminating Information.

There are various techniques for disseminating information within the organisation. These include emails, webcasts, road shows, all-hands meetings and newsletters. Each of these techniques is suitable for a particular situation, and can be costly or reasonable. As such, organisations must take into consideration the characteristics that are unique to their organisation when choosing a suitable technique (Bogardus, 2004:157).

According to Rao (2011:274), a research study revealed that HR's intranet was effective in conveying combined HR information to employees globally.
Harris (2007) argues that one of the reasons there is growth in the use of internal intranets that offer guidance on HRM policies and procedures, is to minimise the amount of individual requests for information from the function. Intranet is a system whereby computer terminals are linked in order to share information within an organisation or within part of the organisation. It can be used for purposes of updating personal details, applications for internal jobs online, requests for training access to e-learning and the administration of queries and communication

(Armstrong, 2009:1014).

10.3 A commonly used communication technique.

Besides the communication techniques mentioned above, there is another technique utilised by most organisations worldwide, known as an induction programme, which is a developmental programme with the aim of introducing new employees to the organisation, its employees and the individual's work. It usually comprises training as a component of the training programme (Thackwray, 2013:102). The new employees need to familiarise themselves with the relevant processes, instruments and documents, such as policies and procedures, and this could be achieved through the induction programme (Weber & Remer, 2011:88). According to Parthasarathy (2009:100), the induction is provided to introduce the employees to the policies, procedures, people and peers, so as to enable them to adapt swiftly to the organisation. The induction process also enables employees to speedily become positive, useful members of the organisation (El-Sham, 2003:20).

11. PEOPLE RESPONSIBLE FOR THE FORMULATION OF HRM POLICIES.

Although any person within the organisation could initiate HRM policies, HR specialists should be proactively involved and initiate policy development (Erasmus, & Schenk, 2008:174). Martin (2009:126) argues that HR develops policies in consultation with unions, employees and line managers, while the implementation, monitoring and evaluation lie with the line manager. Armstrong and Taylor (2014: 36) also state that Human Resource professionals are responsible for the provision of advice and services relating to human resource management, while the provision of human resource management is up to the line managers, who ensure that HRM policies are put into practice. As such, the role of an HR manager is to formulate policies, evaluating them and the implementation employee management (Saiyadain, 2009:5).

12. HRM POLICIES AT TERTIARY INSTITUTIONS.

12.1 Introduction.

Tertiary institutions are both capital and labour intensive, and they function within a changing world-wide atmosphere (Pillay, 2010:221). Herbest (2009) also maintains that tertiary institutions are labour concentrated as compared to several other industries. According to Shattock (2010) since universities have concentrated workforces, and since research and institutional substructures are so reliant on monetary sustenance, funding structures and the accessibility of funds for investment in new developments are crucial aspects in the realisation of their strategic goals. Different policies from two institutions referred to as institution A and institution B would be discussed in this section.

12.2 HRM policies for Institution A.

Institution A has different policies for various categories of positions and levels. For instance, there are separate recruitment policies for academic staff and for professional and administrative support staff. The academic recruitment policies are classified as two categories, namely categories A and B. The former category encompasses the highest level of academic positions, known as Professorships, and latter category entails positions like Associate Professorships, Senior Lectureships, as well as Lectureship levels. This policy also covers the appointments of Research Officers for corresponding ranks.

However, these policies do not cover categories of appointments of visiting academics (from Lecturers to Professors) in which the appointment is for two years or less, and the appointee is also an employee of another institution; Honorary Senior Lecturer or Honorary Lecturer appointments (typically in the Faculty of Health Sciences, where the appointee holds a position in an associated hospital); Honorary Professor and Honorary Associate Professor appointments; tutors, demonstrators and student assistants; contract appointments of up to two years for academic and research officer appointments; Vice-Chancellors, Deputy Vice-Chancellors, Deans and Registrars.

Two other recruitment and selection policies for professional and administrative support services (PASS) involve employees in pay-classes 9 to 13, as well as professional and administrative support services employees in pay-classes 1 to 8. These policies include the appointments of technical and scientific employees, and do not apply to contract appointments of up to two years, wardens of residences, and executive Directors and Registrars.

12.3 Contents of Institution A's HRM policies.

12.3.1 Introduction.

The contents of the recruitment policy for a category A position is similar to that of a category B position, except in the composition of the selection committee section, where the policy for a category A positions exceeds the members of category B by one group known as council observers. The section for delegated authority, in which the approval of professorial appointments is made by the Vice-Chancellor, or the Deputy Vice-Chancellor, is included in category A positions. The approval of the appointments of category B positions namely, the Associate Professorship is done by the Vice-Chancellor/Deputy Vice-Chancellor, while the approval of Senior Lecturer/Lecturer appointments made by the Dean.

The contents of the recruitment policy for the professional and administrative support services employees, in pay-classes 9 to 13, is similar to the policy for the professional and administrative support services employees in pay-classes 1 to 8. This excludes the composition of the selection committee section, where the policy for pay-classes 1 to 8 is more detailed, while the policy for pay-classes 9 to 13 indicates only HR practitioners, as well as the section stating that the committees are serviced by the faculties/departments in pay-classes 1 to 8. The policy also state that pay-classes 9 to 13 committees are serviced by the Employees Recruitment and Selection Office, while the delegation of authority for the salaries of pay-class 13 is the Vice-Chancellor. The contents of these policies are outlined below.

There are also different compensation policies for institution A, namely, the institution's compensation policy, senior and executive employees' remuneration

policy, academic pay policy, PASS 6 – 12 remuneration policy, PASS 1 - 5 remuneration policy, Part A for clinical academic employees on the joint employees of the institution and a provincial department; and Part B for clinical academic employees on the joint employees of the institution and employees holding positions in a local hospital.

12.3.2 Recruitment and Selection Policies.

The recruitment and selection policies for academic and professional administrative support services for institution A are discussed below.

12.3.2.1 Academic Recruitment and Selection Policies.

The contents of this policy encompass the following:

- An introduction describing the Senate committees involved in the applications for academic positions.
- The categories of academic positions covered by this policy, as well as those academic positions not covered by the policy.
- Status of the Committee of Senate.
- The date of approval and the general rules and guidelines for committees.
- The aim of the committee that is selecting the most appropriate chair-worthy applicant, as well as the awareness of the institution's Employment Equity Policy.
- The composition of the selection committee.
- Special quorum rules, terms of office and terms of reference.
- The recruitment and selection processes, detailed guidelines, terms of recruitment and selection, confidentiality, selection committee processes, referees, unverified information and voting.
- Recommendation of the selection committee that is, making appointments, or to making no appointments, as well as making recommendations complementary to the above.
- Delegated authority, that involves the approval of professorial appointments made by the Vice-Chancellor (or the Deputy Vice-Chancellor who attended the final interviews), on the recommendation of the selection committee.

- These committees are serviced by the Employees Recruitment and Selection Office.

12.3.2.2 Professional and Administrative Support Services (PASS) Recruitment and Selection Policies.

The contents of this policy include the following:

- The statute, which is the Committee of Council.
- The date of approval as well as general rules and guidelines.
- The aim that is selecting the best suitable candidate for appointment in relation to the institution's Employment Equity Policy.
- The composition of the selection committee.
-. Special quorum rules.
- Terms of office and terms of reference.
- The recruitment and selection process as well as detailed guidelines, confidentiality, selection committee processes, referees, unverified information and voting.
- Recommendation of the selection committee: which include making an appointment, or no appointment, and making recommendations complementary to the above.
- Delegated authority, which includes the approval of appointments in pay-classes 1-8 by Deans or Executive Directors. In the case, of PASS departments that are not headed by Executive Directors, the Head of that PASS department has final approval.
- These committees are serviced by the faculties/departments.

12.3.3 Remuneration Policy.

The institution's remuneration policy for the senior and executive employees, academic, professional and administrative support services policies are discussed below.

12.3.3.1 The Institution’s Compensation Policy.

The contents of the policy include the following:

- The statement that this policy and practice should support and strengthen the accomplishment of the institution’s vision and strategy, and that this policy and the related policies should replicate the institution's values by emphasising what it views as significant and thus what it compensates.
- The institution’s intention is to be an exceptional teaching and research institution, educating for life and addressing the challenges facing our society. Its vision would be supported by the execution of this policy by attracting, retaining and compensating employees who contribute to the accomplishment of the vision. It is also committed to fairness and equity in its dealings with employees, and the policy should reflect the institution’s values.
- The limitations approved by Council as a basis for compensation decisions, and
- The date that the policy was last updated.

12.3.3.2 Senior and Executive Employees Remuneration Policy.

The remuneration policy and structure is presented below:

- Positions within pay-classes 13 - 15 (Peromnes 1 – 5).
- A performance-based compensation structure.
- Varieties created around an average of Vice Chancellors’ (Peromnes 1 level) salaries of a group of five similar institutions.
- Employees meeting all the necessities of the job are paid at the standard package rate for their Peromnes grade.
- Employees performing above the requirements of the job are paid a once-off non-pensionable performance bonus.
- Varieties created from 15 % below the standard package, and employees have the possibility of earning a bonus of up to 15% above the standard package, and
- The date that the policy was last updated.

12.3.3.3 Academic Pay Policy.

The contents of this policy cover the following:

- An introduction indicating that the policy sought to establish levels of remuneration at amounts which enable the institution to draw, maintain and encourage employees. The best way of accomplishing this purpose is to benchmark salaries at comparable institutions, which share the same research-led culture to that of the institution.
- The Standard Academic Salary Package (SASP) at each rank should be aligned with the 75th percentile of salaries at that rank, at comparative universities. The basis for choosing this benchmark is that the institution recognises that it has an outstanding status amongst the comparative institutions nationally, and that it primarily owes that status to the quality of its academic and research work.
- The salary negotiation process.
- In order for the institution to draw exceptional employees internally and from outside the country, it is vital for it to have a suitable benchmark against which to assess the institution's academic salary levels, which should be built on the foundation that the institution should pay its academic employees at a higher quartile of the tertiary market.
- The financial sustainability of the institution is an essential concern in any compensation policy and, therefore, a discussion of the sustainability of anticipated increases is to form a component of annual salary negotiations.
- The criteria to be used for discussions on financial sustainability should be a set of data, using metrics looking back over a number of years.
- This policy permits a set of disparities between ranks so as to offer incentives across the life span of an academic career, while upholding unity across ranks. The targets for disparities between ranks should be revised at least every three years.
- Since the policy was designed in a specific governmental and economic climate and with certain goals in mind, the policy should be reviewed if there is evidence of radical change in the climate or in that the chosen benchmark and the mechanism of monitoring it is failing to meet the set goals.
- The date of approval and the date the policy was last updated.

12.3.3.4 Professional and Administrative Support Services 6 - 12 Remuneration Policy.

The current remuneration policy and structure is outlined below:

- The performance grounded compensation structure.
- Linkage to the 60th percentile countrywide of all-employments market with a 5% lenience rank about the 60th percentile.
- Employees meeting all the necessities of the occupation are paid at the standard package rate for their pay-class, which compares to the 60th percentile of the market.
- Employees performing above the necessities of the job are paid a once-off non-pensionable performance bonus.
- Ranges created from 15% below the standard package, and employees have the prospect to be paid a bonus of up to 15% beyond the standard package.
- The date the policy was last updated.

12.3.3.5 Professional and Administrative Support Services 1 - 5 Remuneration Policy (PASS).

The compensation policy and framework is presented below. It is divided into two sections (Part A and Part B):

- Salary structure of one rate per pay-class.
- Rate per pay-class linked to the 60th percentile of the countrywide all-employments market.
- Pay rises are awarded and executed across the board with no disparity or performance management.
- Date of last update.

Part A of the policy deals with pay for clinical academic employees on the joint employees of the Institution and the Provincial Health Department of the Western Cape Government (WCG). The contents include the following:

- The introduction that Part A deals with compensation for clinical academic employees on the joint employees of the institution and the provincial department, which predominantly involves clinical professors and clinical

associate professors in the faculty paid by the institution.

- The pay ranks for clinical academic employees paid by the institution would be set by the institution's Remuneration Committee (RemCom), and that the committee, through the HRM department, would consult clinical academic employees paid by the institution on proposed pay ranks for them.
- When RemCom reaches its decision, it would take note of the compensation and conditions of service of comparable clinical academic employees in the public service, but will not be bound by such pay and conditions of service.
- The vital dissimilarities in conditions of service between provincial department-paid clinical academic employees and the institution-paid clinical academic employees.
- The institution's package for clinical academic employees.
- Pay according to institutional pay ranks for clinical professors and clinical associate professors, so that they are aligned to the pay ranks for state-employed clinical (medical) specialists.
- The pay ranks would be subject to performance management and excellence awards management in terms of the faculty and senate-approved criteria.
- There would be provision for paying a premium on the pay ranks for a clinical professor or clinical associate professor where this is motivated by the Dean and approved by the Vice-Chancellor in order to attract or retain clinical professors.
- The institution pays headship allowances, which would be fixed annually.
- The conditions of service for full-time clinical academic employees might permit the employees to undertake private or extra work, comprising but not limited to limited private professional practice and to the procedures for applying for this permission.
- Any joint employee promoted to the rank of professor or to the rank of associate professor is subject to the approval of the institution and the provincial government.
- Claims by the institution from the provincial department and claims by the provincial department against the institution, for costs of appointments on the joint employees of the institution and the provincial department, should be shared.
- The Teaching Hours formula payment is indexed to define state-service clinical

(medical) specialist pay.

- The provincial department through one or more of its hospitals, might contract with a clinical professor or a clinical associate professor for additional work in terms of (a) an overtime contract; or (b) "commuted overtime" contract.
- The payment of commuted overtime would be made according to the State's rules governing commuted overtime, and is not payable during periods of study and research leave.

Part B of the policy deals with pay for clinical academic employees on the joint employees of the institution and the Health Laboratory Service (HLS):

- The introduction that Part B deals with compensation for clinical academic employees on the joint employees of the institution and the HLS, predominantly clinical professors in the faculty paid by the institution.
- The present salary packages for institution-paid employees on the joint institution/HLS employees.
- Employees on the HLS joint employees might not participate in private professional practice. Permission should be sought for any other private or extra work.
- The approval of a clinical compensation document is approved by the Vice-Chancellor.
- The date of the last update.

12.3.4 Performance Management Policy.

The institution A’s performance planning, reviews and employee development for academic staff are discussed below.

12.3.4.1 Performance Planning, Performance Reviews and Employee Development (Academic Employees).

The policy outline on performance evaluation for academic staff is outlined below. The contents of the policy entail the following:

- The institution strives to offer academic employees ideal opportunities annually for professional development and career advancement, while planning and

reviewing their performance with their HOD for deliberating on developmental matters.

- The performance evaluation varies from a review in that the HOD is required to make a recommendation on performance.
- The scheduling for performance evaluation is mid-year.
- Deans and/or HODs might write to employees, inviting applications for the acknowledgement of extraordinary accomplishments.
- Should the HOD assess an employee as having made an extraordinary accomplishment, the HOD would forward a report and a recommendation to the Faculty Promotions and Remuneration Committee.
- The employee might apply to the Faculty Promotions and Remuneration Committee for acknowledgement as an extraordinary achiever, regardless of whether or not the HOD supports the evaluation score. The HOD's evaluation is then obligated to be deliberated by the Faculty Promotions and Remuneration Committee.
- Each faculty has a structure for a rating system against which the employees are rated.
- There are five wide-ranging classes of performance, each of which is at all times comparative to that expected of the rank of the employee.
- Suitability for ad hominem promotion.
- Institutional conditions of service.
- The employee that is on the institution’s conditions of service should have been confirmed in his/her appointment prior to applying for promotion.
- Should an employee on probation be performing very well, an HOD might, at any stage, make a case for the early confirmation of appointment. This must be supported by the Dean and the Deputy Vice-Chancellor responsible for Human Resources.
- Conditions of service for joint employees of the provincial government or the HLS.
- SASP (Standard Academic Salary Package) level of performance.
- SASP (Standard Academic Salary Package) and merit awards.
- Different levels of extraordinary achievement are the responsibility of the Faculty Promotions and Remuneration Committee.
- Beneath SASP (Standard Academic Salary Package) level of performance.

- COE repercussions for unsatisfactory performance.
- Appraisal of ad hominem promotions process.
- Date approved by Senate Executive Committee.
- Date of approval for amendments to Section 5 approved by Senate Executive Committee.
- Date last updated.

12.3.4.2 Policy framework on performance assessment for academic employees.

The policy outline on performance evaluation for academic staff is provided below. The contents of this policy entail the following:

- The date of approval by the institution's council, as well as, the date of implementation.
- The date that the performance criteria were reviewed and changes implemented, as well as, the date that a revised set of criteria came into effect.
- Proposal by council that the current remuneration policy be revised, and a task team to report to the Vice-Chancellor be established for this purpose.
- The composition of a task team.
- The recommendations of the task team.
- The strategic goal for the institution to be a research-led institution.
- The institution's commitment to transformation.
- The institution's mission and strategic goals to be accomplished through the implementation of a remuneration policy, which mirrors the beliefs of the institution and which draws, maintains and rewards employees of superior quality who contribute to the accomplishment of strategic goals.
- The definition in the performance standards of what creates the work of an efficient academic employee, and the actual connection between performance assessment and reward systems, are alleged to have led to a noticeable improvement in performance, mostly in the area of research.
- Prospects in relation to performance are, to a great degree, captured in the faculty in the promotion criteria, in research, teaching, leadership, administration and community outreach.
- A detailed suggested device for the compensation of exceptional performance.
- Recommendations that comprise a common formalisation and re-organisation

of the system of performance assessment and management of academic employees, including employees on probation, with the HOD's role substantially clarified.

- The findings and recommendations of the review task team, which were approved by Senate.
- The task team's recommendation that the remuneration policy continues to be based on a system of performance management, moreover, in order to set objectives and evaluate performance. The standard academic position should consist of a mixture of responsibilities linked to teaching and learning, research, administration and leadership, and, in most cases, community advancement.
- Recommendations on performance criteria should replicate the beliefs and the full wide variety of purposes of the institution, and should consequently be in line with the institution's key strategic goals.
- The purpose of a performance evaluation is to make sure that projected standards are met and to promote good scholarship, teaching and community advancement undertakings.
- That provision is made for the weighting of an employee's input to differ through the key performance areas, in relation to faculty needs and the proficiency of the employees. Related deliberations would apply in relation to a weighting of assistances in favour of research. Any difference from standard responsibilities must be approved by the Dean of the appropriate faculty.
- While the criteria should address some of the transformation goals of the institution, faculties should develop additional criteria applicable to these goals across all of the classes, and ensure proper recognition for such accomplishments.
- A variety of forms of education-linked responsibilities are accepted as being practical contributions and could therefore form part of the teaching workload. Faculties may occasionally reflect on how numerous teaching contributions are measured to ensure fairness in the supply of work.
- As a leading research institution whose academic employees are expected to assume research at a high level, the criteria for evaluating research performance should be heavily weighted in favour of quality and influence, as opposed to quantitative measures.
- Community advancement performance criteria identifies the Senate-approved

requirement that community advancement should have an intended community purpose with outside, non-academic communities, and should be associated with the basic processes of the institution, that is, research, teaching and learning.

- Familiarity with the current system of performance management stresses the necessity for an explanation of the HOD's role in the process of establishing and approving performance goals, and in executing evaluations. Similarly, the present system has emphasised the necessity for an obviously defined process of communication of anticipation and response.
- Recommendations on management of performance objectives
- Recommendations on communication.
- Recommendations on payments for quality.
- Additional details of the merit awards and superiority payments.
- Implementation details for a particular academic year.
- Implementation aspects of the recommendations.

12.3.4.3 Personal Performance System (PPS).

Institution A's personal performance system is outlined below. The policy covers the following:

- The definition that PPS is an approved system for performance contracting, management and development at the institution for Professional, Administrative and Support Services (PASS) employees in pay-classes 6 to 12.
- The aim of PPS is to support line managers and employees in approving job requirements and establishing an employee and team goals and performance standards that connect with the PASS department or faculty and the institution at large.
- Empower employees to perform to the best of their ability.
- Achieve role comprehensibility.
- Advance communication between line managers and employees.
- Approve and uphold acceptable levels of performance.
- Recognise suitable opportunities for development.
- Provide and receive incessant feedback.
- Offer a reasonable and impartial system on which compensation and reward is

founded.

- The system is divided into two separate, but interrelated cycles, Performance Development and Pay-for-Performance that are connected by the objective-setting process.
- The PPS process is recorded and documented.
- Date last updated.

12.3.4.4 Personal Performance System (PPS) and Pay-for-Performance for Professional, Administrative and Support Services (PASS) employees.

The personal performance system and the pay-for-performance for professional, administrative and support services employees are outlined below:

- The introduction stating that the performance management system supports the line manager in realising the departmental goals by assisting the line manager and employees in clarifying performance expectations and recording them, and then measuring and evaluating performance against these expectations.
- The purpose of performance management systems
- What is needed for the system to succeed.
- What should be done by the line manager for any performance management system to succeed.
- What should be done by employees for the system to succeed
- Performance systems and their related compensation structures differ for the various categories of employees at this institution.
- The Personal Performance System (PPS) is the approved system for performance contracting, management and development at this institution for Permanent Professional, Administrative and Support Services (PASS) employees in pay-classes 6 to 12.
- This system should also be employed for contract PASS employees on T2 conditions, and, where appropriate, for PASS employees on T1 conditions.
- This system could also be employed as an instrument for the performance management of PASS employees in pay-classes 1 to 5, even if there would be no connection to compensation.
- Definitions of terms
- The purpose of this resource guide is to give the employees and line managers

a step-by-step guide to implement the Personal Performance System.

- The system is divided into two distinct, but unified cycles, Performance Development and Pay-for-Performance, and they are connected by the objective-setting process.
- The basic philosophies of the Personal Performance System and the Pay-for-Performance Process.
- The Personal Performance System:

  Step 1: Setting and supportive aims.

  Step 2: Measuring ability against work necessities.

  Step 3: Outlining up a Personal Development Plan (PDP).

  Step 4: Informal evaluation of performance compared to aims.

  Step 5: Constant evaluation of development requirements.

  Step 6: Official evaluation.

  Step 6.1 Official evaluation: Mid-year review.

  Step 6.2 Official evaluation: Last review.

  Step 6.3 Recording learning and development activities.

  Step 6.4 Performance rating uniformity appraisal.
- The Pay-for-Performance process:

  Step 7: Line manager recommends compensation outcome.

  Step 8: Internal reliability appraisal.

  Step 9: Central uniformity appraisal.

  Step 10: Advising the employee of the payment result.

  Appealing the pay result decision.

  High level timeline.

12.3.5 Employee Education, Training and Development Policy.

The contents of employee education, training and development policy are as follows:

- The approval by council and the date for approval.
- The owner of the policy, who is the manager for the Employees Learning Centre.
- The reviewers of the policy.
- Who to contact for queries.
- The policy details, encompassing the Employees Education Bursary Scheme,

Employees PhD Bursary Scheme, formal development and Expensive Non-formal Development.

- Who is eligible for which scheme.
- Criteria for each scheme.
- Period for each scheme.
- Amount for each scheme.
- Each employee that undergoes the training and development covered in this policy enters into agreement with the institution.
- Should the terms of agreement be broken, the bursary is converted into a loan.
- Procedure and approval for each scheme.
- Method of payment for each scheme.
- When proof of completion should be submitted.
- The purpose of the policy is to establish a perfect model of funding for employee learning and development, to establish criteria, conditions and methods for employee learning and development to be funded, and to ensure uniformity in the funding of employees' learning and development throughout the institution. It is also to ensure that there is a robust connection between learning and development and work performance, and sustained return on investment.
- The policy is applicable to all the institution's employees on conditions of service (PASS and Academic, GOB and non-GOB). The PhD Bursary Scheme also applies to joint employees on either provincial or the institution's conditions of service, as well as the payment of employee tuition rates on behalf of the employee.
- The policy is not applicable to full-time and part-time joint/tripartite medical employees who are not included in the conditions of service, with the exception of the PhD Bursary Scheme.
- Definition of terms.
- Principles of the policy, encompassing the connection between learning and development and job performance, taxability of learning and development funding, funding of learning and development per intervention type, funding of learning and development per learning and development need.
- Related links to the policy should be read in conjunction with the policy.
- The links for viewing the process flows.

- The last date the policy was updated.

12.3.6 Employment Relations Policy.

The contents of the Employee Relations Policy are as follows:

- The introduction describing what the policy is about, the committees involved, as well as those responsible for it.
- Promoting channels of communication at all levels; recognising and increasing shared areas of interest between all employees; expecting and resolving conflict wherever possible; offering channels for conflict resolution and developing mutual trust in their reliability.
- Recognition of the principle of freedom of association by the institution's council.
- Preparations for recognition, collective bargaining and dispute resolution by the institution, should employees select to join a trade union.
- Recognition of employee rights to join the representative body of their choice, although the institution would not recognise all such bodies for collective bargaining or other purposes.
- The institution's pledge to be devoted to uphold non-racial conditions of employment.
- The names of existing trade unions for different categories of positions at the institution.
- The institution's commitment not to victimise any employee as a result of his/her membership of a representative body.
- Protection of employees from being coerced into membership of any association against their wishes, or from being coerced in any way as a result of their non-membership of any association.
- Recognition of a representative body for the purposes of collective bargaining on behalf of the institution's council.
- Procedures on how negotiations, disputes, grievances and disciplinary matters would be handled.
- Recognition by the institution's council of the significance of open communication and joint consultation between management and employees.
- The significance of expressing and resolving a grievance as rapidly as possible,

at the lowest conceivable level.

- The necessity for upholding certain standards of conduct, and that, if any employee fails to do so, he/she would be liable to disciplinary action.
- The necessity to uphold certain standards of performance, and that, if an employee fails to do so in accordance with his/her employment contract, specific job requirements and/or the institution's rules, he/she would be liable to corrective action.
- Provision of employee training to promote informed and sound employee relations practices.
- The date last updated.

12.4 HRM policies for Institution B.

Institution B does not have separate HRM policies for academic and administrative employees. The existing HRM policies cover both academics and administrative. However, there section in these policies which require different applications for academics, as well as administrative staff. In this case, they would clearly specify in detail what applies to which category. For instance, the Recruitment and Selection Policy states that the advertising and filling of the position for academic employees should be done within six months, whereas the same should be done within three months for administrative and support employees, unless there are valid operational reasons not to do so.

12.5 Contents of Institution B's HRM policies.

12.5.1 Introduction.

The recruitment and selection policy for institution B is more detailed. The compensation policy also specifies the broad categories of employees to which this policy applies to as: academic and research employees, professional support employees and administrative, as well as service employees. The Performance Management Policy stipulates that its scope addresses the performance of all permanent employees and employees on contracts longer than three months. However, the scope of the Employee Education, Training and Development Policy

shows that it is applicable to all the employees within the institution. Similarly, the Employee Relations Policy states that it covers to all employees within the institution.

12.5.2 The Recruitment Policy.

The contents of the Recruitment and Selection Policy include the following:

- The date of approval of the policy and the date of commencement.
- A statement that the institution is devoted to promoting a non-racial, non-sexist and democratic community. The institution endeavours to attract and employ people with the required qualifications, abilities and competencies to realise their vision and mission.
- The objectives are to create an impartial, consistent and trustworthy approach in the recruitment and selection of employees; to provide guidelines to ensure that the process is in compliance with the labour and equity legislation; to attract and employ capable and skilled individuals at all times; and to create a diverse labour force.
- The HRM department is the guardian of the policy and supplementary processes.
- The approval of new permanent positions and contract positions of longer than twelve months by executive management (EM), and the motivation and consideration of these positions should take place in August each year for filling the positions in the following year.
- The advertisement and filling of the position should be within six months for academic employees and within three months for administrative and support employees, unless there are valid operational reasons not to do so.
- The approval of contract positions of up to twelve months might be approved by a relevant member of E).
- Approval of extension of contract positions of longer than twelve months by EM and for contract positions of up to twelve months by an appropriate member of EM.
- Academic positions should be generated or filled in accordance with the Higher Education Act (101 of 1997) and the appropriate institutional Statute.
- Where a temporary vacancy occurs, a suitable replacement may be appointed in an acting capacity and should generally not exceed a period of six months, in

the case of academic and senior management appointments, and three months for other appointments.

- Where a temporary vacancy becomes permanent, the position must be advertised immediately.
- An employee, who acts in a higher position for a period exceeding thirty calendar days, should be paid at the higher grades. Should the grades overlap, the employee must be paid at least one notch above his/her current rate.
- The HRM department is responsible for advertising all vacant positions.
- All vacancies should be advertised internally for a period of two weeks.
- EM or the relevant member of EM should approve the re-advertising of positions or headhunting where necessary.
- EM or the relevant member of EM should approve deviations from the approved minimum requirements for positions.
- Composition of different shortlisting/interview panels for academic and administrative sectors.
- Shortlisting and planning for interviews.
- Written/practical assessments as well as criteria for the evaluation of candidates.
- The HRM department should conduct the required administration for interviews.
- Recommendation and approval by the chairperson of the panel through the HRM department.
- Supporting procedures and guidelines for supporting/related documents.
- The HRM department is accountable for the policy.

12.5.3 Remuneration Policy.

The contents of the institution B's remuneration policy are outlined below:

- The date of approval of the policy as well as the date of commencement.
- The statement that the policy plans to help the institution in recruiting, retaining and motivating regularly high performing employees. While viewing performance management as an essential part of compensation management, both compensation and performance management are perceived as crucial organisational issues and not just Human Resources issues.
- The scope of the policy is applicable to all employees within the institution.

- The objectives of the institution's compensation policy are to ensure a system that pays individuals for the achievement of strategic objectives, motivates high levels of performance, enables the institution to compete effectively in the labour market, and recruits and retains high quality employees while attaining fairness and equity.
- The definition and interpretation of terms.
- Grading and job profiles, encompass job details (title, number, department, etc.), output standards, success indicators and enablers (values, skills and attitudes).
- Broad categories of employees, namely, academic and research employees, professional support employees and administrative and service employees.
- Compensation principles and compensation ranges.
- Salaries and package structuring.
- Medical aid, retirement funds, taxation, a thirteenth cheque, tools of the trade, interim remuneration reviews, general and effect of non-compliance.
- Those who should know the policy include HRM department employees, line managers and all employees.

12.5.4 Policy on Performance Management.

The Performance Management Policy includes the following:

- A statement ensuring the implementation of the institutional Strategic Plan, that the employee objectives are aligned to the strategy and that the accomplishment of objectives is monitored and assessed. It also provides input into other HRM systems such as the training and development of employees, organisational design and compensation practices, as well as ensuring that performance management is applied fairly and objectively.
- The scope of the policy addresses the performance of all permanent employees and employees on contracts longer than three months.
- The objectives of the performance management system are to formulate a significant Personal Development Plan for every employee. It also entails ensuring that the agreement on personal outputs are linked to institutional and faculty/departmental goals, and that developing individual performance measures are linked to institutional quality assurance measures, while ensuring

that developmental, meaningful, performance discussions become a continuing method of managing, and not one short annual event.

- Definitions and acronyms.
- The performance management cycle.
- Departmental goals and measures as well as ratings.
- Performance incentives (payments).
- Components of the individual performance management process, which incorporate performance planning, key performance areas, competencies, performance tracking, performance evaluation, the final evaluation meeting, employees' comments, completing the annual cycle and appeal process.
- The implementation of the policy would be done by HODs, deans and directors of units, the Performance Management Committee and the HRM department.
- Monitoring and Evaluation would be done by the Performance Management Committee, executive management and the HRM department.
- Development as well as the review of the policy would be done in accordance with the attainment of the institution's strategic objectives.
- Approval authority by executive of senate.

12.5.5 Employee Education, Training and Development Policy.

The learning and development policy for institution B's contents are outlined below:

- Date of approval and date of commencement.
- The statement that the institution recognises its obligation to participate in the training of its employees for individual development, in increasing the level of productivity and in meeting the demands of all its customers.
- This policy is applicable to all the employees.
- The aim of the policy is to ensure commitment to the delivery of quality services by the institution through its employees and to maintain a competitive edge. The institution will endeavour to ensure that all employees receive up-to-date, relevant and effective education, training and development in pursuit of the highest level of competence and quality service at all times.
- Those responsible for education training.
- The responsibility of the Education Training and Development Office.
- The responsibility of line management.

- The responsibility of the Skills Development Committee.
- The responsibility of the Employees' Development Committee.
- The composition of the committee.
- The responsibility of the employees.
- The responsibility of the skills coordinators.
- The application forms to attend training should be completed by employees, approved by the line manager and submitted to the education, training and development office.
- Non-attendance of programmes.
- The department should endeavour to make adequate provisions in the education, training and development budget for developmental purposes.
- That funds that are claimed from the education training and development office SETA in relation to the Skills Levies Act would be managed by the HRM department and administered by the skills development facilitator.
- Attendance at conferences contributes to the professional development of employees. Financial support would be provided in accordance with the institution's policy in this regard.
- On-the-job training is strongly encouraged.
- Funding for external studies would include registration fees, tuition, class fees, examination fees, laboratory charges and binding costs for thesis/dissertation.
- Employee education, training and development procedure as well as Performance agreement and review documents.
- Implementation of the policy by the HRM department.
- Compliance by the HRM department and line management.
- Monitoring and evaluation by the HRM department.
- Development and review of the policy by the HRM department.
- Review and recommendation by HR committee of council.
- Approval authority by council.
- Interpretation and advice by the HRM department.

12.5.6 Employee Relations Policy.

The contents of the Employee Relations Policy encompass the following:

- The policy statement indicating management's conviction to provide and

promote an environment with conditions in line with current labour legislation, in which its employees might achieve their maximum potential.

- The policy is applicable to all employees within the institution.
- The aim is to ensure that all employees are treated with respect and impartiality at all times.
- Forming impartial and constant practices and procedures.
- Promoting values of shared respect, shared trust, trustworthiness, and freedom with responsibility in the workplace.
- Recognition of employees' rights to freedom of association, which permits all employees to join the labour unions of their choice.
- Recognition of employee representative bodies.
- The institution's pledge not to coerce employees to join a representative employee body nor prevent them from joining one.
- The institution's pledge to maintain open channels of communication and personal contact with employees, as well as the promotion of formal and informal discussion at all levels regarding issues of concern and employee interest.
- Procedural issues regarding discipline, grievances, performance, incapacity, as well as dispute resolution.
- Supporting procedures and guidelines as well as related documents.
- Accountable persons and all those who should be aware of the policy.

13. HRM PROCEDURES.

HRM procedures are different from HRM policies since they stipulate exactly which measures should be taken to deal with key employment issues such as grievances, discipline, capability and redundancy (Armstrong, 2009:988).

13.1 Grievance Procedures.

A grievance procedure specifies that differences between employees, management and unions are unavoidable, and it also provides a systematic, constant method for resolving differences (Holley *et al.,* 2012:436). The grievance becomes a dispute once the grievance-handling mechanism has failed to redress a grievance and is not

acceptable to the aggrieved employee (Geet *et al*., 2009:10.7). A grievance procedure fulfills the following functions (Bendix, 2010:355):

- It generates the prospect for upward communication from employees.
- It guarantees that grievances are successfully handled by management.
- It generates alertness of employee problems, which could be subjected to further investigation.
- It inhibits disputes from arising.
- It renders the disciplinary procedure to be more tolerable, since employees also have a means of objecting to management performance.
- It stresses management's concern for the wellbeing of employees.

13.2 Institution A's Grievance Procedures.

13.2.1 Introduction .

According to institution A a grievance is referred to as any unfairness in relation to an employee's employment situation, besides conditions of service or salary range, other than that which arises from disciplinary action, which is brought to the attention of the appropriate establishments. Employees may be mistreated, as a result of their having raised a grievance. The purpose of this policy is to ensure that grievances are resolved at the most initial phase conceivable and as speedily as possible. Institution A has different grievance procedures for academic employees and for Professional Administrative Support and Services employees. Their contents are described below.

13.2.2 Grievance Procedures for Academic Employees.

Steps in the grievance procedure for individual academic staff are discussed as:

13.2.2.1 Step One: Head of Department (HOD).

The initial phase for any employee is to informally approach his/her immediate superior, whereby an effort is made to resolve the grievance. If the grievance relates to the actions of the HOD, the employee should approach the HOD in order to seek a solution to the matter. The employee may obtain the assistance of a representative

if he/she so wishes. This phase should take two days only.

13.2.2.2 Step Two: Dean of Faculty.

If the grievance is not informally resolved, the employee may take the grievance further and validate the process by making written representations to the faculty Dean, who is obliged to reflect on mediating the grievance in harmony with the institutional Mediation Policy. The employee should refer a copy to his/her HOD, and another copy to the Employee Relations office within three days of the end of phase one. The Dean would then organise a meeting within two days of receipt of such representations, which would comprise of:

- A chairperson (Dean or his/her nominee).
- The employee lodging the grievance.
- The employee's representative.
- The employee against whom the grievance is lodged.
- The employee's HOD.
- A representative from the HRM department.

The issue would be given three days to resolve before continuing to the next phase. The chairperson should conclude his/her report on the grievance hearing proceedings and proposal towards resolving the grievance within an additional three days. A copy should be sent to all concerned.

13.2.2.3 Step Three: Vice-Chancellor (VC).

Should the employee wish to take the grievance further, in the three days ensuing after the end of phase two, he/she must make written representations to this effect to the VC, referring a copy to the Employee Relations office. The VC or his/her nominee should review the case, and the employee and his/her representative must be advised accordingly, if the VC appoints a nominee. The VC or his/her representative is compelled to consider mediating the grievance in accordance with the University's Mediation Policy. A meeting must be arranged by the VC or his/her nominee within five days of receipt of representation relating to the grievance, if necessary, to establish further facts about the case. It must consist of:

- The chairperson (VC or his/her nominee).
- The employee lodging the grievance.
- The employee's representative.
- The chairperson of the phase two hearing, and, if this chairperson requires it, the employee's HOD.
- A representative from the HRM department.
- Any other employee(s) the chairperson desires to invite in order to expedite the resolution of the grievance.

The matter should be resolved within five days from the date of this meeting. The chairperson should conclude his/her report on the grievance hearing proceedings and proposal towards resolving the grievance within an additional five days. A copy should be sent to all concerned.

13.2.3 Procedure for a Group Grievance.

- Should there be evidence that two or more employees have the same grievance, they may choose to have the grievance dealt with as one.
- The group must select a representative(s) that would act on its behalf. It is assumed that the representative(s) would carry the complete mandate of the group they represent, and that any decisions made in relation to the resolution of the grievance would be binding on all the individual employees in the group.
- One of the following procedures may be selected:
  If there is evidence that two or more employees (i.e. academic employees from the same department/unit) have the same grievance, it may be addressed through the grievance procedure.
  When there is evidence that two or more employees have the same grievance, but the employees concerned come from various departments or units, the grievance might be perceived as an agenda item to the working group on academic employee issues.
  A meeting may be organised within three days of the Dean/HOD and the Employee Relations section being sent written representations relating to the grievance, and it should involve the nominated representative(s) and their representative (if requested by the employee and management

representatives).

13.2.4 Attendance at Grievance Hearings (Group and Individual).

Managing the relationship between the complainant and the accused necessitates precaution, particularly when the two employees work closely together (e.g. as members of a team) or in a line relationship. The accused should not be compelled to attend a grievance hearing with all parties present contrary to his/her will. If necessary, the chairperson would have to hear the accuser and the accused individually. But this should be evaded. In circumstances of close employment or line relationships, the chairperson may insist on a meeting with both parties, as he/she deems necessary for expediting a resolution of the grievance.

13.2.5 Relation between the Grievance and Disciplinary Procedures.

- Grievances are frequently the outcome of a misunderstanding between two or more parties, and transgression is not essentially involved. Nevertheless, should a grievance be brought to the attention of management and, after investigation, management is content with the evidence of misconduct in relation to the employee who is the subject of the grievance, the issue should be handled in terms of the disciplinary procedure. The aggrieved employee might be asked to provide evidence at a disciplinary investigation. The decision to petition the disciplinary procedure will typically indicate the conclusion of the grievance procedure.
- When, upon application, either by the accuser or the accused, the appropriate Dean or VC is content that the grievance procedure should proceed concurrently or be invigorated at the end of the disciplinary proceedings, it might be so ordered.

13.2.6 Grievance Procedure for professional administrative support service employees.

The grievance procedure for professional administrative support service employees is outlined below:

13.2.6.1 Step One (Informal Step).- Line manager.

When an employee wishes to raise a grievance, he/she should approach his/her direct senior, whereby an effort is made to resolve the grievance. If the grievance is connected to the actions of the senior, the employee must nonetheless approach the senior in an effort to resolve the issue. The employee may obtain the assistance of a representative if he/she so desires. This phase could take up to two days.

13.2.6.2 Step Two (Formal Step). – Dean of the faculty.

If the grievance is not resolved informally, the employee may take the grievance further and formalise the process by completing a grievance form. The employee should refer the form to his/her senior, and refer a copy to the Employee Relations section of the HRM department within three days of the conclusion of step one.
A meeting of the following people would be organised by the senior to whom the form was sent within two days of receipt of the grievance form:

- A chairperson (who should be more senior than the immediate senior).
- The employee lodging the grievance.
- The employee's representative.
- The employee's immediate senior.

If the grievance is not resolved informally, the employee may take the grievance further and validate the process by making written representations to the faculty Dean, who is bound to reflect on mediating the grievance in harmony with the institution's Mediation Policy. Should the chairperson deem it appropriate, he/she might advise the parties to attempt to resolve the grievance through mediation in relation to the institution's Mediation Policy. Any of the parties to the grievance may propose mediation at any phase of the grievance process. No one is obliged to accept an invitation to mediation, and no adverse consequences may be incurred from such refusal. An effort to resolve the issue via mediation does not revoke the grievance, except when the aggrieved employee agrees that it has been resolved and the terms of the agreement have been reduced to writing. When the mediation process is unable to resolve the grievance matter in question, the grievance procedure would resume at the phase it was put on hold to attempt resolving it

through mediation. Resolving the matter before continuing to the next phase would be allowed three days from the date of this meeting. The chairperson would complete the appropriate section of the grievance form and return the original copy to the employee who submitted it, together with his/her report on the grievance and his/her suggestion concerning resolving the grievance.

13.2.6.3 Step Three - Chairperson.

Should the employee wish to take the grievance further, in the three days ensuing the end of phase two, he/she must refer the grievance form to the senior official of the chairperson at phase two and refer a copy to the Employee Relations office. A meeting of the following people would be organised by the supervisor/manager to whom the form was sent within three days of the receipt of the grievance form:

- The employee lodging the grievance.
- The employee's representative.
- The full-time union representative.
- The employee's senior.
- A representative from the employee relations section.
- Any other employee(s) the chairperson needs to invite in order to expedite the resolution of the grievance, subject to the approval of the aggrieved employee.

The matter would be permitted to be resolved three days from the date of this meeting, prior to proceeding to the next phase. The chairperson's decision would signify the end of step three. The chairperson would complete the relevant section of the grievance form and return the original form to the employee who submitted it, together with his/her report on the grievance and his/her proposal regarding resolving the grievance.

13.2.6.4 Step Four - The Registrar.

Should the employee desire to take the grievance further, in the three days ensuing the end of step three, he/she must refer the grievance form to the Registrar and refer a copy to the employee relations office. The Registrar or his/her nominee would analyse the case. In the event the Registrar appoints a nominee, the aggrieved

employee and his/her representative must be advised accordingly. If the Registrar (or nominee) deems it necessary to establish further evidence regarding the case, a meeting would be organised within five days of receipt of the grievance form, and would comprise the following:

- The chairperson (the Registrar or his/her nominee).
- The aggrieved employee.
- The employee's representative.
- The full-time union representative and/or an external union official.
- The employee's immediate senior.
- A representative from the Employee Relations office.
- Any other employee(s) the chairperson desires to invite in order to expedite the solution to the grievance.

The matter would be permitted to be resolved five days from the date of this meeting. The chairperson would complete the relevant section of the grievance form and return the original form to the employee who submitted it, together with his/her report on the grievance and his/her proposal regarding resolving the grievance. Should the union believe that the situation permits it, they may henceforth raise the issue in terms of the dispute procedure.

13.2.7 Procedure for a Group Grievance.

- In case there is evidence that two or more employees have the same grievance, they may choose to have the grievance dealt with as one.
- The group would permitted to choose representatives who would act for the group. When the group comprises of:
  Eight or less employees, they may select one representative.
  Nine to 25 employees, they may select two representatives.
  Twenty six or more employees, they may select three representatives.
  One of the ensuing procedures may be selected:
  Should there be evidence that two or more employees in the same division within the same department have a similar grievance, it may be addressed through the grievance procedure. Otherwise, the procedure below may be followed.

In the event there is evidence that two or more employees have the same grievance, but the employees concerned come from different divisions, the grievance might be perceived as an agenda item to the working group on academic employee issues.

A meeting may be organised within three days of the line management and the Employee Relations section being sent written representations relating to the grievance, and it should encompass the nominated representative(s) and their representative if requested by the employee and management representatives.

Should the union believe that conditions warrant it, it may henceforth raise the matter in terms of the dispute handling procedure.

13.2.8 Attendance at Grievance Hearings (Group and Individual) Procedure.

The accused should not be compelled to attend a grievance hearing with all parties present against to his/her will. In circumstances where the aggrieved employee and the accused are in a close working relationship, the chairperson of the grievance meeting might ask both parties to be present with the aim of solving the conflict. Should the accused employee desire to respond individually, such meetings would be arranged, and both parties would be required to be present at a follow-up meeting at which the chairperson would table his/her proposed resolution of the matter.

13.2.9 Relation between the Grievance and Disciplinary Procedures.

Grievances are frequently the outcome of a misunderstanding between two or more parties, and transgression is not essentially involved. Nevertheless, should a grievance be brought to the attention of management and, after investigation, and management is content about the evidence of misconduct in relation to the employee who is the subject of the grievance, the issue should be handled in terms of the disciplinary procedure. The aggrieved employee might be asked to provide evidence at a disciplinary investigation. The decision to petition the disciplinary procedure would typically indicate the conclusion of the grievance procedure.

13.3 Institution B's Grievance Procedures.

13.3.1 Introduction.

The aim of this procedure is to ensure that employees' grievances are considered and resolved as close as possible to the point of the source, and as quickly as is feasible. Institution B has the same grievance procedures for both academic employees and administrative employees

13.3.2 Steps in the Institution's Grievance Procedure.

Steps in the grievance procedure entail the following:

- Employees who believe that they have a genuine grievance need to register their grievance with the immediate supervisor within five working days of incidence.
- The supervisor should then try to resolve the grievance and present the suggested solution to those concerned within two working days or a longer period as agreed upon by the parties.
- If the matter is not resolved within the stipulated time or the party(ies) is/are not satisfied with the suggested solution, they may complete a grievance form and convey it to the immediate supervisor or, where suitable, to the next level of management within two days.
- The supervisor concerned should look for a solution to the matter and inform the grievant(s) and the other parties concerned of the resolution within five working days, or whatever longer period has been agreed upon.
- If the matter is not resolved within the stipulated time or the grievant(s) is/are not satisfied with the suggested solution, the grievant(s) may refer the grievance form to the next level of management.
- The supervisor should endeavour to resolve the matter within five days, or whatever longer period has been agreed upon.
- In the event the grievance remains unresolved, the method defined in the previous two paragraphs may be followed until the grievance is registered with top management.
- The parties might, at any phase, once the two levels of management have been

dealt with the grievance, agree that the grievance be accelerated to top management, as long as the managers at the mediating levels have been contacted and have agreed thereto.

- Top management should call a meeting of all relevant parties within five days of receiving the written grievance, and convey proposals to solve the grievance in an additional period of five days or a longer period as agreed upon by the parties.
- The resolution, proposed by executive management, would signal the termination of the grievance process.
- In case the employee(s) continue to be disgruntled, there is an existing alternative through the Institutional Disputes Procedure.
- Notwithstanding the specified periods, supervisors should attempt to resolve grievances within the shortest time imaginable.

13.4 Disciplinary Procedures.

According to Bendix (2010:377), a disciplinary procedure is not meant to merely ensure that employees are appropriately disciplined. It ensures that all employees are treated equally, and that they are not disciplined or dismissed at the whim of a supervisor. Disciplinary procedures also ensure that employees are accorded a chance of an unbiased hearing prior to dismissal. That misconducts of a similar nature are treated in a similar manner by all managers, and employees have confidence concerning the kind of treatment they would get, while managerial representatives obtain confidence about their actions and decisions. A sound disciplinary procedure approaches the whole disciplinary matter in an objective and impartial manner (Durai, 2010).

13.5 Institution A's Disciplinary Procedures.

13.5.1 Introduction.

Institution A has different disciplinary procedures for various categories of positions, namely, academic employees and Professional, Administrative, Support and Service (PASS) employees, including scientific and technical employees. These procedures

encompass broad guidelines on the implementation of the disciplinary procedure, and the advancement of fair labour practices relating to certain standards of conduct required from employees. The aim of a discipline and the disciplinary procedure is to secure good conduct. A disciplinary procedure is intended to correct misconduct and to arrange for a sanction for misconduct. These procedures are outlined below.

13.5.2 Disciplinary Procedures for Academic Employees.

The disciplinary procedures for academic employees at institution A encompass the following:

13.5.2.1 Informal Disciplinary Action.

- The Head of Department (HOD) should keep a record of all disciplinary action, and also provide the employee with a copy of any record. The employee and the HOD should sign both copies of this record.
- Since this action would be informal, any such record would not form part of his/her employment record, and would not be kept on the employee's personal file in the Human Resources Department. However, such records would still be acceptable in ensuing formal proceedings.

13.5.2.2 Commencing Formal Disciplinary Action.

- Any claim of misconduct of the academic employees should be reported to their HOD or the Vice Chancellor. Upon receipt of the claim, the HOD would reflect on it, and if it is a minor misconduct, the HOD should address it by counseling the employee or by issuing an oral warning.
- In the event the HOD considers the claim as a serious misconduct, he/she should refer it to the Vice Chancellor.
- Should the Vice Chancellor receive the claim and consider that it is a minor misconduct, he/she should refer it to the HOD or the Designated Faculty Authority. If he/she contemplates that the claim is a serious misconduct, he/she should refer the matter for investigation to a Preliminary Investigating Committee and should also inform the employee concerned of both the claim

and of his/her decision.

13.5.2.3 Formal Disciplinary Action: Minor Misconduct.

The Designated Faculty Authority (HOD, similar HOD, standing tribunal or Dean) should have formal disciplinary powers over the academic employees for minor misconduct. This procedure is anticipated to be easy and reasonable. Some basic requirements of procedural fairness are set out as follows:

Formal action should not be taken without proof of evidence of misconduct. As such, an investigation may be essential to establish such evidence, and this may be handled by the HOD. Alternatively, the administration may be asked to assist with this investigation. Should there be any proof of evidence of misconduct, this would necessitate disciplinary action.

13.5.2.4 The Formal Disciplinary Inquiry: Minor Misconduct.

i) Preliminaries.

- The employee should be informed in advance, in writing, of the time and place of the hearing, and the substance of the allegation(s) against him/her, before a formal disciplinary investigation by the Selected Faculty Authority (SFA). The notice period should be sufficient enough to enable the employee to prepare his/her case.
- The employee should also be informed of his/her right to be represented at the inquiry by an employee.
- In case the representative of the employee's choice is not available, the employee may select another representative, if sufficient notice of the inquiry has been given.
- An employee, who chooses not to be represented, may at any point change such a decision, provided that this would not overly delay the process of the inquiry.

ii) The Process of Inquiry.

The inquiry is divided into two parts:

- Contemplation of the evidence and whether the employee is guilty of misconduct as charged. If a finding of guilty is reached, the inquiry should proceed.
- Contemplation of any aggravating and mitigating circumstances, and the sanction.
- The inquiry may comprise only of the SFA and the employee. If the employee chooses to bring a representative, the SFA may choose to have another senior employee or a member of the HRM department present, the role of this second person is limited to advice.
- The chair of the SFA should keep a short written record stating the charges, the significant facts placed before it, the findings, evidence in mitigation or aggravation, and the sentence.
- The name of the employee's representative should be recorded in the Inquiry Report. In the event the employee does not wish to be represented, this should also be recorded in the inquiry report.
- The employee and his/her representative may be present throughout the hearing.
- The employee and his/her representative may interrogate the witnesses, call other witnesses, question any documentary evidence and submit documentary evidence.
- Where feasible, the evidence against the employee should be presented by individuals who have the actual knowledge of the facts to which they testify.
- On request, and in case the conditions permit this, the SFA may provide a witness consent to be accompanied by a support employee.
- Should the employee fail to appear at the inquiry without lawful and adequate reason, either individually or through a representative, this should not undermine the proceedings. The inquiry may then take place in the absence of the employee and the record will reflect this.
- In reviewing the case, the SFA should hear and take account of all pertinent evidence and arguments. He/she should make a finding, on equilibrium of possibilities, on the claim against the employee.

- The inquiry should be closed and the employee cleared of the allegation, should the evidence not support the allegation. In the event a guilty verdict is reached, then the employee should be informed and the inquiry should progress to the phase of determining the sanction.
- The employee and his/her representative should be provided with a chance to lead the evidence in mitigation. Evidence of aggravating conditions may also be led at this point.
- The SFA should decide on a suitable sanction at the end of the inquest, and should also inform the employee and his/her representative of this in writing, as soon as possible.
- The SFA should write a report of the significant points of the inquest. A copy of the report should be given to the employee or his/her representative.

iii) Possible Sanction.

The SFA should decide on the sanction.
The enforced sanction rests on:

- The seriousness of the misconduct.
- Mitigating and/or aggravating circumstances.
- The sanction imposed may be one of the following:
- Reprimand/oral warning.
- Written warning.
- Final written warning.

Since the SFA does not have dismissal within his/her jurisdiction, and it is obvious in the course of the inquiry that the misconduct is serious, then the SFA should suspend the inquiry and refer the matter to the VC.

iv) Appeal against a Decision of a SFA.

- An employee has the right, either personally or through his/her representative, to appeal against any formal disciplinary sanction.
- If the HOD or Faculty hearing imposed the sanction, the employee may appeal to the Dean.

- If the Dean imposed the sanction, the employee may appeal to the Vice Chancellor who, in turn, nominates a Deputy Vice Chancellor to hear the appeal.
- The appeal should be lodged in writing within seven days of the disciplinary action being informed to the employee in writing.
- The bases for appealing against the finding and/or sanction must be stated in the notice of appeal.
- People involved in the original investigation should not hear the appeal.
- In case that the outcome results in considerable unfairness, the appeal should be heard on the record and any supplementary argument, which either party may select to present.
- The person or the committee hearing the appeal should contemplate both procedural and essential questions, and should also make a finding on:
- The outcome and the sanction, where the appeal is against both.
- The sanction only, where the appeal is against the sanction only.

13.5.2.5 Formal Disciplinary Action: Severe Misconduct.

The Investigation: Preliminary Investigating Committee (PIC).

When the formal action is taken, there should be proof of evidence of misconduct. In this case the Vice Chancellor believes that there is a severe misconduct, which necessitates formal investigation, he/she must appoint an Initial Investigating Committee to consider the claim. This committee determines whether there is proof of evidence for a charge, and should there be any evidence, to formulate a charge. Once a charge has been established, the committee or its nominee may negotiate a settlement of the matter with the employee concerned, should the employee initiate such a process.

13.5.2.6 The Process of the PIC.

- Members of the PIC should approach the inquiry with open and impartial minds. In the event one of them believes that he/she would be unable to do so, he/she should recuse himself/herself.
- The employee against whom the accusation has been made might challenge

the impartiality of any member of the PIC. Should the chairperson perceive that there is a valid reason why any member or members of PIC, including the Chairperson, should recuse himself/herself/themselves, the chairperson should then rule that he/she/they should recuse himself/herself/themselves.

- The Vice Chancellor might replace a member who recuses himself or herself during the inquiry, but should not be bound to do so provided a quorum remains. Where a member is replaced during the inquiry, the proceedings should start afresh.
- The Vice-Chancellor may employ a person to present the case before the PIC. The Executive Director or Human Resources might appoint a person to service the PIC.
- The chair of the PIC should be responsible for ensuring that a brief written record is retained.
- The employee might be represented at the PIC by another employee.
- The employee and his/her representative might be present throughout the hearing.
- The employee and his/her representative may interrogate the witnesses, call other witnesses, question any documentary evidence and submit documentary evidence.
- Where feasible, the evidence against the employee should be conveyed by persons who have actual knowledge of the evidences to which they testify.
- On request, and if the conditions permit this, the Chairperson of the PIC may provide a witness permission to be accompanied by a support person.
- Should the employee fail to appear at the inquiry without lawful and adequate reason, either individually or through a representative, this should not undermine the proceedings. The inquiry may then take place in the absence of the employee and the record will reflect this.

13.5.2.7 Time Limits.

The PIC should complete its enquiry and render its decision within one month of the date on which the Vice Chancellor appointed it, provided that the Vice-Chancellor may extend this by up to one month where the PIC, with the agreement of the employee, asks for an extension.

13.5.2.8 Action

The Preliminary Investigating Committee should:

- Dismiss the charge; or
- Refer a case to the Vice Chancellor for consideration by a Committee of Inquiry, in which instance the PIC would convey the allegation(s), or
- Dismiss the employee or opt for some other agreed upon action based on terms agreed to by the PIC and the employee.

13.5.2.9 Suspension

Should the Vice-Chancellor believe that it would be in the interests of the institution's employees for the employee to be suspended and not to enter any premises of the institution, the Vice Chancellor might, after having conveyed the charge against the employee to the PIC, suspend him/her until the PIC dismisses the charge or determines the matter upon agreed terms, or until the Committee of Inquiry (COI) makes known its decision or the Vice Chancellor or the Council's standing tribunal lifts the order. A suspended employee should, at all times, be entitled to receive all salary and benefits to which he or she is entitled as an employee.

A suspended employee is entitled to a hearing by the Vice Chancellor within 72 hours of the suspension order being made.

The Vice Chancellor would have the discretion to confirm, vary or withdraw the suspension order, after hearing the employee.

13.5.2.10 Committee of Inquiry (COI).

i) Preliminaries

- The employee should be informed in advance, in writing, of the time and place of the hearing, and the matter of the accusation(s) against him/her, prior to the COI.
- Such notice period should be sufficient to enable the employee to prepare his/her case.
- The employee should be notified of his/her right to be represented at the inquest. Any form of representation is acceptable at a COI at the employee's

expense.

- Should the representative of the employee's choice be unavailable, and if the provided notice of the inquiry is sufficient, the employee is required to select another representative.
- An employee, who chooses not to be represented, might at any point alter his/her choice, only if this would not excessively interrupt the process of the COI.

ii) The Process of COI.

The inquiry should be divided into two parts:

- Contemplation of the evidence and whether the employee is guilty of misconduct as accused. Should the employee be found guilty, the COI should subsequently continue.
- Contemplation of any aggravating and mitigating conditions, and the sanction.
- The Vice Chancellor might employ a person to present the case against the employee prior to the Committee of Inquiry. This might be the same person who has presented the case prior to the PIC. The Executive Director and HR may appoint a person to service the COI.
- The Chairperson of the COI is accountable for ensuring that a record of the significant facts is preserved. However, should the employee or any member of the COI desire the events to be electronically documented, steps should be taken to do so.
- The employee's representative's name should be recorded in the inquiry report. Should the employee wish not to be represented, this must be documented in the inquiry report.
- The employee and his/her representative might be present during the hearing.
- The employee and his/her representative might interrogate the witnesses, call other witnesses, interrogate any documentary proof, and submit documented proof.
- Where feasible, the proof against the employee should be presented by persons who have actual knowledge of the evidences to which they testify.
- Should the conditions permit this, the COI may provide a witness consent to be escorted by a support person, on request.

- Should the employee fail to be present at the COI without binding and adequate reason, either personally or through a representative, this should not nullify the proceedings. The COI might take place in the absence of the employee and this should be documented.
- When deliberating the case, the COI should listen to and take account of all relevant evidence and disagreement and make a finding, on an equilibrium of possibilities, on the accusation against the employee.
- Should the evidence not support the accusation, the inquest should be closed and the employee should be cleared of the allegation. Should he/she be found guilty, the employee should be informed and the hearing should progress to the point of determining sanction.
- The employee and his/her representative should be given the opportunity to lead evidence in mitigation. Evidence of aggravating circumstances may also be led at this stage.
- The COI should choose a suitable sanction at the end of the inquiry, and must notify the employee and his/her representative of this in writing, as soon as possible.
- The Chairperson of the COI should make a report of the proceedings. A copy of the report and recording/s should be presented to the employee or his/her representative. The employee should be provided with a transcript of any portions of the recording/s, only once it has been made. The employee would have no right to request a transcript of any recording or recordings which has or have not been transcribed.

iii) Possible Sanctions:

- The Committee of Inquiry should choose the sanction.
  The executed sanction relies on:
  The gravity of the misconduct; and
  Extenuating and/or aggravating conditions.

Formal disciplinary action may include one of the following:

- Reprimand/oral warning.
- Written warning.
- Final written warning.

- Dismissal with notice.
- Summary dismissal.

Should the misconduct permit dismissal, and the COI choose dismissal, but contemplate that an alternative to dismissal is acceptable; the COI may offer an alternative. Should the offer be accepted by the employee, it should apply. If the alternative is rejected by the employee, the dismissal should stand.

13.5.3 Professional, Administrative, Support and Service (PASS) Employees including Scientific and Technical Employees.

The disciplinary procedures for PASS employees and scientific and technical employees encompass the following:

13.5.3.1 Informal Action.

- It is the institution’s belief to ensure that trivial problems or occurrences of misconduct are dealt with through informal discussion and supervision in order to prevent the execution of the formal procedure.
- Formal disciplinary action may not be summoned whenever an employee breaks a rule or fails to meet a necessary standard. The employee's manager should perform remedial action in the form of informal advice, counselling and verbal warnings, except when the misconduct is reasonably severe.
- The record of verbal warnings should not appear on an employee's personal file or formal disciplinary record. However, line managers may preserve these records for their departmental use.

13.5.3.2 Formal Action.

- The institution should take formal disciplinary action in the event that an employee commits serious misconduct or shows recurring cases of failing to meet required standards of conduct.
- Severe misconduct covers, but is not limited to, the following:
- Drunkenness from alcohol or other intoxicants.

- Spiteful or premeditated damage to institutional belongings.
- Stealing, or attempted stealing.
- Unlawful possession of the institution's possessions.
- Deception (including the misrepresentation of documents and the mismanagement of leave privileges).
- Gross carelessness.
- Battering or threatened battering.
- Bullying.
- Breach of privacy.
- Persistent late-coming, leaving early and/or absenteeism without leave during working hours.
- Failure to obey a sensible and legitimate instruction.
- Unofficial absence for five or more days.
- Disrespect of safety, health and fire procedures.
- Deceitfulness or corruption.

13.5.3.3 Suspension.

- The disciplinary action would typically take place only if there is proof of misconduct, through an investigation.
- The Investigating Officer should advise an employee under investigation in advance that the statement he/she is asked to make could be used in a disciplinary action. The employee should be informed of his/her right to representation prior to making a statement, and may also choose not to make a written statement.
- The employee also has the right to ask, and be told, the result of the investigation, at the conclusion of the investigation.
- He/she may be suspended with full salary during the investigation where:
- The institution has realistic grounds for suspecting that the employee has committed a severe misdemeanour.
- The institution realistically suspects that the investigation, or the institution, would be biased due to the continuous presence of the employee at the workplace.
- Should an employee be suspended pending the outcome of an investigation,

he/she should be informed in writing of the grounds for the suspension. He/she should also be informed in writing of the outcome of the investigation when the investigation is over.

- The investigating officer should meet with the line manager and an HR practitioner at the end of the investigation to reflect on the evidence, and if it is enough to establish a misdemeanour, formulate draft charges. These, as well as the evidence, should be presented to the employee relations office which should have the power to:

  Confirm and/or revise the draft charges.

  Present the issue back to the investigating officer for additional investigation and/or check further with the Investigating officer, the HR practitioner and the line manager.

  Terminate the process if there is not enough evidence to establish the suspected misdemeanor.

  Set up a disciplinary investigation no later than 14 days after the investigation has ended, and if the investigation shows wrongdoing on the part of an employee.

13.5.3.4 The Disciplinary Enquiry.

i) Preliminaries.

- Should an employee be involved in an act of misbehaviour, he/she should be notified beforehand that he/she is required to attend a disciplinary enquiry. He/she should be allowed at least two working days to prepare his/her defence for the investigation.
- The notification to the employee should contain a thorough explanation of the accusations against the employee, and should inform him/her of the following rights:
- The right to be represented at the investigation by a fellow institutional employee or a member of the institution’s recognised employee representative body. In case the employee chooses not to be represented, this should be documented in the investigation record.
- If the representative of the employee's choice is not available, and should

sufficient notice of the inquiry has been given, the employee may select another representative.

- In case a representative desires to represent an employee during working hours, he/she should acquire an agreement between himself/herself and his/her supervisor/manager to be out of the workstation for these purposes.
- The notification should also, wherever possible, indicate who would chair the disciplinary enquiry. In the event that the employee and/or his/her representative believe that the case should not be heard by the selected chair, a motivation to that effect should be submitted to the nominated chair, and a copy should be forwarded to the employee relations office, at any time before the beginning of the hearing. The chair would then decide whether or not to recuse him/herself.

ii) The Investigation: The Participants.

(a) Chairperson

- The chairperson of the investigation should approach the investigation with an open and impartial mind and should not have been directly involved in the matter.
- In case that the chairperson of the investigation feels that he/she is incapable of being impartial, he/she should provide written reasons for doing so to his/her head of department (administrative and support departments) or dean and head of department (academic departments).

The role of the chairperson should be to:

- Ensure an impartial and systematic procedure.
- Commence, conduct and end the proceedings.
- Ensure that all parties completely comprehend the events.
- Endeavour to create the facts.
- Resolve the issue only on the provided evidence.
- Make two diverse verdicts.
- Ensure that a record of the events is preserved, which should include the reasoning for the chairperson's conclusion and, where sanction has been imposed, the reason for the sanction.

(b) The Management Representative.

- Management may appoint a representative to present its case, as long as such a representative is an institutional employee.
- It is mandatory for the management representative to lead the evidence in support of the accusation against the employee.
- The management representative should examine all witnesses.
- The management representative should be permitted to be present during the course of the investigation, but not participate in the decision-making process.

(c) The HRM department Representative.

- A member of the HRM department representative should be present at all disciplinary investigations in which an employee is accused of severe misconduct. However, his/her absence at the enquiry should not influence the holding of the enquiry.
- The main role of the HRM department representative should be to:

  Guide the chairperson and the management representative where needed, concerning the execution and clarification of institutional policies and procedures.

  Guide the chairperson on the appropriate CCMA, labour court and labour appeal court decisions and institutional practice.

  The HRM department representative should also be permitted to ask such relevant questions as might spell out essential matters in the case.

  The HRM department representative's role should not be confused with that of the chairperson or management representative, and would not participate in the decision-making process.

(d) The Employee and the Employee Representative.

- The employee has the right to be aided by a representative of his/her choice, provided that the representative is an institutional employee.
- The employee and his/her representative should be present during the investigation.
- The employee and his/her representative should be allowed to lead the evidence in defence of his/her case, interrogate management's witnesses and lead further witnesses.

(e) Witnesses

- All witnesses in the investigation should attend in person, even in cases where they have submitted written statements, to permit the alleged employee and his/her representative to interrogate the provided evidence.
- Where feasible, the evidence against the employee should be verbally presented by those who are knowledgeable of the details to which they testify.
- Special arrangements might be introduced to protect identities, as well as efforts made to ensure procedural impartiality, especially when the plaintiff/s or witness/es are realistically expected to fear for their or their family's safety, in disciplinary cases that involve violence or intimidation.
- A witness might request approval from the chairperson to be accompanied by a support person, especially in extraordinary situations, (e.g. in a harassment case).

iii) The Investigation: The Process.

- The investigation should be separated into two parts.
- The chairperson should take into consideration all pertinent evidence, as presented when contemplating the evidence. He/she should then make a finding on the charges or minor charges consistent with the situations in the case.
- Should the evidence not support the accusation made, the employee should be cleared of the specific allegation and the investigation should be closed. Should the employee be found guilty, he/she should be informed and the investigation should continue.
- Should the outcome be guilty, the employee and his/her representative must be provided with the opportunity to lead evidence in extenuation of the imaginable contrary sanction.
- The management representative should be provided with a chance to lead evidence of any exasperating conditions.
- The chairperson of the investigation should be concerned with any other extenuating and exasperating conditions kept in the employee’s file, in addition to considering any evidence before making a decision on the sanction.
- The chairperson of the investigation should convey his/her decision on the

sanction at the conclusion of the investigation, and the decision should be given to the employee and his/her representative in writing immediately after the investigation.

- Should the sanction be dismissal, the chairperson of the enquiry should sign the letter informing the employee of his/her dismissal.
- The chairperson of the investigation should produce a written report of the significant points in the investigation. A copy of the report should be sent to the employee or the employee's representative within two working days, at the request of the employee.

iv) Probable Sanctions.

The sanction applied should depend on:

- The gravity of the case, and
- Extenuating and/or exasperating situations.
- Formal disciplinary action may include the following sanctions:
- Written warning.
- Last written warning.
- Combined final warning.
- Firing with notice.
- Immediate dismissal.
- Written warnings should be operative for a recognised period of no less than six months.
- Last written warnings should typically be operative for a recognised period of no less than twelve months. In circumstances that are suitably severe to permit discharge, an alternative to discharge is considered, and a last written warning for a period longer than twelve months issued.
- An employee receiving a written warning or a last written warning should sign it in acknowledgement of receipt. Such a signature should not inhibit an appeal. In case the employee decline to sign the warning, this fact should be documented on the warning and signed by a witness. A refusal to sign is not a disciplinary transgression.
- Dismissal may be necessary where:
- An employee has failed to respond to remedial action, i.e. bad behaviour while

there is an existing last written warning on file.

- An employee constantly participates in numerous forms of unconnected misbehaviour for which he/she has existing warnings, which have been combined into a last written warning.
- The misbehaviour is severe, such that it is not sensible for the work relationship to be sustained.
- The employee should, in the circumstance of discharge with notification, subject to the chairperson's decision, be paid out in lieu of notice, up to the period specified in the employee's contract of service.
- A gross transgression, for instance, theft or fraud, may warrant immediate dismissal and the employee should be paid up to the date of dismissal only.

v) Administration

- An employee getting a written, last written or combined last written warning should only sign it in acknowledgement of receipt. Such a signature should not inhibit an appeal against the sanction. Should the employee decline to sign the warning, this fact should be documented on the warning and signed by a witness. Refusal to sign is not a disciplinary transgression.
- The original warning should be given to the employee, and a copy should be filed on the employee's personal file in the Central Registry in the HRM department. One copy should be kept by the supervisor/manager and another copy should be issued to thee employee relations office for its records.
- When the period of the warning expires, the employee may approach the supervisor/manager and request the copy of the warning kept by him/her. There should be no record of the warning kept in the files of the supervisor/manager thereafter.

vi) Appeal Procedure.

- An employee is entitled, either individually or through representation, to appeal against any formal disciplinary action.
- The foundation for the petition must be detailed and might comprise, but is not restricted to, a representative, to petition against any formal disciplinary action.

- The foundation for the appeal should be specified and might comprise, but is not restricted to, the following:
  Jurisdiction.
  Procedural irregularities.
  Evidentiary problems.
  Realistic outcomes of the chairperson.
  Complications surrounding the enforced sanction.
  Problems involving the fairness of the chairperson.
- In the situation of a written warning, the appeal should be lodged with the employee's manager who issued the warning, within three working days of the issue of the warning. The manager in question or, if necessary, another line manager should either hold a verbal hearing or consider the issue on paper in order to resolve the case. Should the appeal's chairperson choose to hold an oral hearing, the hearing should be convened within fourteen days of receipt of the appeal.
- In the situation of dismissal, the appeal should be lodged in writing with the Registrar, through the Employee Relations Office, within 7 seven working days of the dismissal. The Registrar, or Registrar's nominee, should either contemplate the issue on paper or organise a verbal hearing in order to resolve the case. The hearing shall be organised within fourteen days of receipt of the appeal.
- The chairperson of the appeal might consent a notice of the appeal lodged later than the expiry of the alleged time limits, on good reason presented by the employee.
- The chairperson of the appeal should not have directly participated in the initial investigation.
- The appeal hearing should reflect on all matters raised on the grounds of the notice of the appeal, plus, where applicable:
  Procedural matters.
  The finding of the initial investigation.
  Sanction.
  A verdict should be presented within seven working days of receipt of the appeal if no hearing is called, or within seven working days of the end of the appeal hearing. This decision would be provided as soon as possible in writing

thereafter, and should be final, as well as specify the end of the internal disciplinary procedure.

13.6 Disciplinary Procedure for Institution B.

13.6.1 Introduction

The purpose of disciplinary measures is to safeguard sound relationships between management and employees/unions, and contribute to the accomplishment of organisational goals and long-term labour relations solidity. It is also to initiate remedial action in the instance of undesirable behaviour rather than punitive measures.

13.6.2 Disciplinary Procedure: Non-dismissible Misbehaviours.

The disciplinary procedures for Institution B for non-dismissible misbehaviours are outlined below.

13.6.2.1 Principles

- Disciplinary action should be the last stage carried out to inhibit future incidence, since the aim is to improve, and not reprimand.
- However, repeated and severe breaches may lead to instant dismissal.
- Disciplinary action must be legitimate, impartial, speedy, sensible and regular. It should apply equally to all employees.
- It must be applied in isolation between employees and their supervisor, except in circumstances where witnesses and/or translators are required.
- The originator of disciplinary action must be at least a rank above the supposed offender.
- Disciplinary action should offer:
  An explanation of the assumed misdemeanor.
  A chance for employees to be heard.
  A chance for supervisors to notify employees of their right to representation by a union, office bearer or fellow employee of their choice.

- Consultation with the suitable union and representation by a union to be official in the occurrence of disciplinary action against a shop steward (employee representative).
- Remedial action appropriate to the conditions of the case.
- An indication of conceivable further action should the conduct not change.
- Depending on the conditions and the weightiness of the issue in question, disciplinary action may be invoked gradually or autonomously and take one of the ensuing forms:
  Verbal warning.
  Written warning.
  Final written warning.
- Should employees be dissatisfied with the result of the disciplinary action, an appeal may be lodged with EM.
- Supervisors who start disciplinary action on malevolent grounds may be exposed to disciplinary action.

13.6.2.2 Disciplinary Phases

i) The disciplinary phases are outlined as follows:

(a) Category 1 Misbehaviours: Oral Warning

- Late-coming
- Considerate time-wasting.
- Taking prolonged meals or tea breaks.
- Leaving the workstation without consen.t
- Failing to report absence from work as soon as the employee is aware that it is anticipated to happen.
- Using vulgar language.
- Failing to keep the cubbyhole clean, neat and accessible.
- Failing to conform to safety rules, regulations or necessities.
- Failure to wear protective attire or gear.
- Failing to wear a name-badge or prearranged identical gear whilst on duty if required.
- Smoking in areas where smoking is not permissible.

- Causing a disruption.
- The immediate supervisor must indicate the unacceptable conduct.
- The supervisor must notify and remind employees of the necessary action for correction and deterrence of re-occurrence.
- Employees must be made aware that further misconduct could lead to more serious action.
- The supervisor must document the action(s) taken.
- The warning should be valid for three months.

(b) Category 2 Misbehaviours: Written Warning.

- Unlawful absenteeism.
- Constantly being late for work, leaving early, being absent from duty, or taking prolonged meal breaks.
- Sleeping while on duty.
- The use of offensive language or outrageous, inappropriate behaviour which may adversely influence the image of the institution or the self-respect of any person.
- Intentionally interfering or hampering with work programs or their execution.
- Failure to declare, to an immediate supervisor, gifts or services provided by a supplier or student.
- A written warning may be issued when employees repeat Category 1 misdemeanours or where a Category 2 breach occurs.
- Employees should be given at least two working day's written notice of the disciplinary meeting, the reason for such a meeting and the right to representation.
- Employees must be given adequate opportunity to state their case.
- A written warning should be documented and issued by the immediate supervisor, who should make it clear to employees that formal disciplinary action is being taken.
- Employees and their representatives should sign to confirm receipt of the warning, and a copy should be placed in the employees' personal file.
- The warning should be valid for three months.

(c) Category 3 Misdemeanours: Last Written Warning.

- Failing to report for work without good cause.
- Failing to report for agreed overtime without valid reason.
- Being exceptionally ill-mannered towards any person whilst on duty.
- Failure to leave the building in an emergency or dangerous situation.
- Failure to carry out a reasonable instruction without valid reason.
- The inappropriate use of institutional resources.
- Unlawful transportation of passengers in institution vehicles.
- Careless driving of institution vehicles.
- Failing to report an accident or damage to institutional property.
- Failing to be careful with the property of the institution and others.
- Failing to display due concern for the safety of others.
- Unlawful driving of any vehicle.
- Being under the influence of any alcoholic or narcotic substance during working hours.
- Causing irresponsible damage to the property of the institution or others.
- Using the institution's internet/hardware to view, store, download or print pornographic material.
- Reproducing material without obtaining the required consent.
- A last warning might be issued only in the circumstance of a Category 3 misbehaviour or when an employee is already on a written warning.
- If an employee is on a last written warning, any similar misbehaviour would inevitably result in a disciplinary hearing.
- The direct supervisor would issue a last written warning in the presence of a representative, if so requested by the employee.
- An employee would be given at least two working days' notice of the disciplinary meeting.
- An employee and a representative, where appropriate, should sign the warning (a copy of the warning be placed on file).
- The last written warning would be valid for nine months.

(d) Advanced Discipline.

- Disciplinary action is advanced when a related misbehaviour, for which a previous warning is still valid, would result in disciplinary action mounting to the

next phase of the procedure.

- A misbehaviour would be considered related if it is under the same category in the disciplinary code or, in terms of the code, is unlawful to a similar level of the former warning, while the latter is still valid.
- To be considered dischargeable misbehaviour, the act of the employee has to be:

  Of a very severe nature.

  A development of similar misbehaviours through the numerous phases.

  The commission of two severe misbehaviours in progression.

  Should an employee, who has a valid warning, commit another transgression in the same category or at a similar level of action, he/she immediately moves to the next phase.

  Should he/she then, while the last warning is still valid, commit a Category 2 misbehaviour, he/she would inevitably move to the next stage, namely a last written warning. If, while the final warning is still valid, he/she commits a severe misbehaviour (Category 3), he/she would not receive a last written warning as he/she has already had action at this stage, but would be subject to a hearing pending probable dismissal.

  Should an employee, who is on a last written warning for a severe misbehaviour, then commit a Category 1 transgression (e.g. late-coming), he/she cannot be accelerated to a disciplinary hearing, as one act of late-coming is not in the same category or actionable at the last written warning phase. Similarly, should the employee commit a single Category 2 transgression, he/she cannot be accelerated to a disciplinary hearing.

  A condition can arise where an employee is already on a last written warning and then commits another Category 1 or 2 transgression, resulting in a written warning. Should such an employee then commit an additional Category 2 or 3 misbehaviour, he/she would not receive a second last warning, but would be subject to a hearing pending potential dismissal. In other words, the said employee cannot be on two final written warnings because the action leading to the second one accelerates him/her to a hearing.

13.6.2.3 Disciplinary Procedure: Dismissible Misbehaviours.

i) Category 4 Misbehaviours: Hearing Pending Conceivable Dismissal.

Stealing or unlawful possession:

- Stealing, unlawful possession or misappropriation of property of the institution, other employees, customers, suppliers or other persons and organisations.
- Removal of any item from the institution's premises without written authorisation.
- Unlawful use or abuse of the institution's property.
- Helping others to steal.
- Permitting or enabling unlawful use of institutional property.
- Swindle or attempted fraud:
  Forging or altering records or documents.
  Intentionally deceiving the institution concerning qualifications, accomplishments or experience.
  Incorrect recording of time on clock cards.
  Incorrect claims for overtime.
  Intentional failure to have leave recorded.
  Intentionally submitting deceitful documents to the institution.
  Deliberately covering deceitful acts from the institution.
  Accepting bribes, contemplations and/or any benefits in exchange for which the other party is unreasonably privileged.
  Extorting employees, students or clients.
  Endeavouring to bribe or offering a bribe to any person with a view to that person committing a deceitful act.
- Being imprisoned for any crime of deceitfulness, which may affect the trust relationship between the institution and an employee.
- Battering and violence.
- Battering or attempted battering.
- Wilful damage to property.
- Bullying, intimidations or threatening behaviour or action.
- Carrying, keeping or using munitions, weaponries or any other potentially dangerous weapon or device on institutional premises.

- Stirring other persons to violence.
- General
- Wagering, gambling or running a gambling, pyramid-type or betting scheme on institutional premises during working hours.
- Unlawful trading in alcoholic beverages or trading in narcotic substances..
- Driving any institutional vehicle or operating any institutional machinery or equipment whilst under the influence of alcohol or any narcotic substance
- Electronically transmitting pornographic material.
- Undertaking private work which is in direct competition with the institution and which undesirably affects the running of the institution.
- Impinging on copy rights for personal gain.
- Harassment of an employee for exercising their rights in terms of legislation.
- Unlawful absenteeism for two or more consecutive working days without good reason.
- Confirmed misuse of sick leave.
- Gross negligence of duty.
- Involvement in an unprotected strike or other unprotected forms of industrial action.
- Gross disobedience.
- Grossly insulting language, misconduct or action.
- Discriminatory or chauvinistic language, behaviour or action.
- Sexual harassment.
- Any action that may encourage ethnic tension or conflict.
- Unreasonably and maliciously bringing the name of the institution into disgrace.
- Deliberately disclosing information that is private to an employee to any other person.
- Unreasonably and malevolently spreading false gossips or laying fabricated charges against a fellow employee.
- Refusal to have personal possessions, vehicles or parcels checked by security guards, provided that such search is undertaken for objective and admissible reasons.
- Disciplinary Hearing:

  A disciplinary hearing should be held in all cases of misbehaviour, which could result in dismissal.

- The aim of the hearing should be to:
  Demonstrate or contradict a supposed breach of the disciplinary code.
  Hear and analyse all appropriate evidence.
  Reach a reasonable and impartial decision.
- Procedures for disciplinary hearings:
  All disciplinary hearings should follow the method of pre-dismissal arbitration.
  All disciplinary hearings would be overseen by an outside arbitrator employed from a panel, mutually agreed to by management and the representative unions.
  The institution should document the events.
  The employee should be informed in writing at least five working days in advance of the supposed misbehaviour and the date, time and venue for the hearing.
  The employee concerned should have admission to the related information needed to defend the case.
  The employee should be allowed an opportunity to state his/her case.
  The employee should have the right to be represented by an internal or external agent, call witnesses, and have an interpreter.
  Witnesses could be questioned by both parties.
  After hearing all the evidences, the chairperson should express his/her decision and the reasons therefore to the parties concerned.
  The employee should have the right to present arguments in mitigation before the sanction is imposed.
  Thereafter, the arbitrator would set out the sanction to be imposed (if any) in writing and inform Human Resources of the decision.
  Sanctions may include any of the following:
  Reprimand.
  Written warning or final written warning.
  Dismissal.
  Suspension without pay for a maximum of a calendar month (only as an alternative to dismissal).
  Demotion (only as an alternative to dismissal).
  A combination of any of the above.
  It is important to note that, once the pre-arbitration dismissal process is

completed, the decision is final and binding on both parties.

- The decision is not subject to appeal or CCMA proceedings, but may be taken under review.
- The fact that an employee has been convicted or acquitted by a court of law, in respect of a particular offence, does not preclude the institution from instituting disciplinary steps against an employee for such alleged misconduct. The reason for this is that the test for guilt in a criminal court is based on guilt beyond reasonable doubt, whereas, in a disciplinary enquiry, it is based on a balance of probabilities.
- The Vice Chancellor may, on the recommendation of the HRM department and for defensible reasons, suspend an employee on full pay, pending the outcome of the hearing, where there is reasonable apprehension that such employee poses a danger, or may interfere with witnesses or tamper with evidence.

14. EVALUATION OF HUMAN RESOURCE POLICIES.

14.1 Introduction.

It is crucial that HRM policies should be evaluated. One study suggested that numerous organisations should evaluate the effectiveness of their HRM policies and practices, to reconsider the variety and the contents of their programmes (CCH, 2010:58). According to Rao (2004:110), in order for HRM policies to be effective, they must be revised, assessed and regulated constantly in connection with recognised values, as this would assist in recognising changes in the current policies. The assessment could be done annually, although some policies may need to be revised at particular times, e.g. the Employment Relations Policy, especially with regard to collective bargaining.

According to Beer *et al.* 1984 (cited by Sharma, 2009:64,65), evaluating the outcomes of Human Resource policies is not simple. Stakeholders should be involved in the assessment of these outcomes for the evaluation to be possible. The involvement could take the form of union-management task teams or employee committees, in case there is no union. The success of HRM policies should be evaluated based on the obligation and ability of employees, the length of service,

absenteeism, employees' attitudes towards work and the organisation, similarity between employees' and organisational goals and the cost-effectiveness of HRM practices (Friedman & Miles, 2006:296; Rao, 2004:110).

According to Pervaiz (2011), the evaluation of recruitment, performance management, training and development, and compensation and benefits policies and practices include the following:

14.2 Recruitment policy.

The evaluation of recruitment policy involves the evaluation of techniques and procedures employed in recruitment, recruitment costs, the effectiveness of recruitment in filling vacant positions and the effectiveness of selection procedures. The evaluation should also assess whether the policy complies with the labour legislation, and that it is explicit. Whether it enables the implementation of the organisational strategic goals, and covers all the necessary issues. Check whether the quarterly or annual reviews of the recruitment policy are provided for in the assessment.

14.3 Performance Management policy.

The performance management policy evaluation includes the evaluation of techniques and procedures employed in the workforce evaluation, the examination of outcomes, and the impact of the employee evaluation process. It assesses whether this policy is quarterly or annually reviewed, and that its application facilitates the achievement of organisational objectives. It also evaluates whether the policy is in compliance with the labour legislation, and that it is unambiguous, as well as covering all the performance management issues.

14.4 Training and Development policy.

The evaluation of training and development policy includes the evaluation of targets, as well as types of training, revision of the training programme, evaluation of employees after completing training, the efficiency and outcomes of the training programme, the examination of the development system of employees in the

organisation, job analysis and the analysis of the plan for employee development. The evaluation should also include checking whether the policy is in line with the National Skills Development Act, and that it is unambiguous. Assess whether the Training and Development policy enables for the execution of the organisation strategic goals, as well as containing all the essential training and development aspects. The assessment should also include whether a quarterly or annual reviews of the policy are provided for.

14.5 Compensation and Benefits policy.

The evaluation of compensation and benefits policy involves the assessment of techniques and procedures employed in the payment of employees' salaries, payments with regard to promotions, annual increments, bonuses, excellent performance, benefits, deductions, pay structures, etc. It would also include the examination of motivational forms, their relationship to employee motivation, and assessment of the level and organisation of compensation. Check whether the policy is in compliance with the labour legislation, and is explicit. It further assesses whether its application facilitates the attainment of organisation goals, and that it also entails all the relevant aspects of compensation and benefits.

Satisfactory precautions should be taken when revising policies in the following circumstances, when (Rao, 2005:38):

- Employees propose recommendations.
- Employees convey grievances.
- Inadequate reports regarding employee performance and behaviour are written.
- The organisation plans for transformation such as development, variation, contraction, and the acceptance of new technology or the introduction of new techniques. HRM policies should have a satisfactory influence on the aims and functions of HRM, as well as assist the parties in question, in order for them to be effective.

14.6 Employee Relations policy.

The review of the employee relations policy includes the evaluation of techniques

and procedures employed in ensuring that rights of employees to representation by the trade unions or some form of representation are maintained. It assesses whether all forms of misconducts are clearly spelt out in the policy. Check whether all the necessary steps in grievance procedures, as well as in disciplinary procedures are covered in the policy and are explicit. The evaluation should also assess whether the policy complies with the labour legislation, as well as it facilitates the implementation of the organisational strategic goals. It further gauges whether the employee relations policy gets quarterly or annual reviews and covers all the necessary issues in the employee relations.

15. SUMMARY.

This chapter discussed the concept of Human Resource Management policies and procedures in-depth. It revealed that line managers needed clear HRM policies, and transparency on which HRM practices they would employ at the operational level (Guest *et al.,* 2013:92). It also revealed that a fully fledged HRM function typically comprises of policies, procedures and programmes for recruitment and employment, benefits and compensation, employee relations, training and development, employee safety, as well as strategic leadership (Shi, 2007:100). The HRM policies presented a generalised direction as to how HR issues should be handled (Armstrong, 2009:988). The purpose and benefits of HRM policies were discussed as ensuring equality and fairness to all employees covered by them, and providing on-going guidelines and comprehensive guidance, outlining how particular traits of HR should be used and implemented (Armstrong & Taylor, 2014:36; Armstrong, 2010:57).

One of the limitations of these policies was indicated as the fact that policies and practices frequently adopted by management were not always endorsed, and although approved, they were not constantly observed by employees as having an inspiration on their work attitudes and behaviours (Bamberger *et al*., 2014:40). It was specified that one of the reasons why HRM policies fail was related to the implementation and execution. As a result, there were no practical means to implement the policy, Human Resources were lacking and the employees neither understoon nor appreciated the significance of the policy (Parker *et al.,* 2004:199).

Factors that impact HRM policies were discussed as stakeholders' interests, on which HRM policies should be grounded, as well as situational aspects, comprising the labour market conditions, the quality and enthusiasm of employees, management styles, production technologies, working techniques, the kind of ownership, and to whom management is liable, which might restrain the improvement of HRM policies (Friedman & Miles, 2006: 296). The contents of various HRM policies and procedures were highlighted as well as several policies from the two institutions under study.

The research design will be discussed in Chapter 4.

CHAPTER 4
RESEARCH DESIGN.

1. INTRODUCTION.

Research design is described by Gravetter and Forzano (2011:190) as: “a general plan for implementing a research strategy”. Heppner *et al.* (2008:66) also define research design as: “a set of plans and procedures that researchers use within scientific inquiry to obtain empirical evidence (data) about isolated variables of interest”. Ragin (1994:191) as cited by Flick (2009:128) also defines it as: “a plan for collecting and analysing evidence that will make it possible for the investigator to answer whatever questions he or she has posed”. Bless and Higgson-Smith (2004:63) define research design as: “a specification of the most adequate operations to be performed in order to test a specific hypothesis under given conditions”.

It is evident from the above-mentioned definitions that research design involves methods to be employed in gathering and analysing data (Blaikie, 2010:37), referred to as surveys, interviews and focus groups as verbal research methods (Gomez & Jones, III, 2010:94).

Research design constitutes two categories, namely, qualitative and quantitative. Qualitative research employs non-statistical procedures to attain profound insight into a research problem, while quantitative research uses statistical procedures to describe an occurrence under study (Andrew *et al*., 2011:46).

2. DESIGN VERSUS METHODS.

Some authors view research design as having a similar meaning to research methods, while others see them as having different meanings (Gorard, 2013). The two terms do not have similar meanings, but they are often used interchangeably (McNabb, 2010:40). Research design differs from research methods in the sense that it is concerned with the planning of the research project (research strategy), and specifies the questions to be studied, the data to be collected, the methods for

gathering data and the kinds of analyses to be employed. Various authors utilise it differently, for example, in the context of the research design, the research strategy would involve what is done and when. However, in the context of research method, the instruments and procedures employed to carry out the study, form the main focus. (Shi, 2008:247; Cluett & Bluff, 2006:23). According to Gomez & Jones (2010:194), research methods include surveys, interviews and focus groups as verbal research methods.

2.1 Research Strategies.

Research strategies can be clustered into three broad strategic classes: explanatory research studies, descriptive research studies and hypothesis-testing research (McNabb, 2010:227).

Sahu (2013:27-28) maintains that there are three types of research designs, which include exploratory, descriptive, and hypothesis-testing research:

2.1.1 Exploratory research.

Exploratory research is described as:

> The key aim of exploratory research is the formulation of a problem. Its chief concern is finding of notions and concepts that have not been fully explored. This type of research comprises three methods of research design which include a literature survey, experience survey, and analysis of insight-inspiring examples (Sahu, 2013:27).

It is the easiest approach to understand and apply, and is often used simply for this reason. The final aim of all explanatory research is the control of usual and social events. In addition to regulating, the strategy is realised by many as the fastest method to create an increasing stream of information in a field (McNabb, 2010:227).

2.1.2 Descriptive research.

Descriptive research is defined as:

> Descriptive research studies describe the features of a group or specific circumstances. The researcher clearly specifies what should be measured and how it should be measured, for a specific population under study. This must be initiated on its effectiveness along with its background information (Sahu, 2013:27-28).

Gravetter and Forzano (2011:190) describe the aim of descriptive research as: "…to define a single variable or to get distinct descriptions for each variable when numerous variables are involved".

2.1.3 Hypothesis-Testing Research.

Under these research studies, the researcher aims to validate the hypothesis with regard to one or more objectives of the study. This type of research could be generally categorised under the research design for diagnostic studies and experimental studies, since it consists of testing hypotheses and diagnosing the casual relationships between the variables in a research design (Sahu, 2013:28).

2.1.4 Strategies selected for the purposes of this study.

This study was exploratory and descriptive in nature to enable the researcher to gain insights of the experiences, feelings and views of the HRM staff, as HRM function service providers, as well as their internal clients, as end-users of the HRM function service delivery.

2.2 Steps in the Research Process.

According to Kumar (2011:23), research design comprises of eight steps that are highlighted below:

2.2.1 Formulate a research problem.

This involves identifying a research problem and clearly defining it.

2.2.2 Conceptualising a research study.

This involves planning a research project that is valid and reliable, and choosing a suitable research design is critical for the researcher to attain valid findings and conclusions. This could either be qualitative or quantitative or mixed (Creswell, 2014).

2.2.3 Constructing a device for data collection.

This step involves the development of data gathering instruments, such as observation forms, interview schedules, questionnaires and interview guides.

2.2.4 Choosing a sample.

This involves the selection of a sample that is representative of the population understudy.

2.2.5 Writing a research proposal.

This step involves the compilation of the overall plan, which spells out the nature of the research problem, details of how it is going to be investigated and the reason for choosing the proposed plan.

2.2.6 Gathering data.

This phase involves the actual gathering of data, which may include interviews, distribution of questionnaires, focus group discussions or observations.

2.2.7 Processing and presenting data.

Data analysis is contingent on the type of information (such as descriptive, qualitative, quantitative or attitudinal) and the manner in which the researcher wants to convey his/her findings.

2.2.8 Writing a research report.

This is the final and most challenging step in a research project. It stipulates what has been done, the findings and the conclusions drawn from the research findings.

3. RESEARCH DESIGN.

The research design is defined as: “a blueprint for conducting a study with maximum control over factors that may interfere with the validity of the findings” (Burns & Grove, 2009). It provides the manner in which the study conducted, and this includes elements like research method, sampling design, research tools and data analysis (Singh, 2006: 77). It focuses on the finished product, namely, the type of study being planned and the intended results of the study (Mouton, 2006: 55-57). It represents a perspective regarding research that conveys information in a continuous manner, from a comprehensive construction of research to the narrow measures of approaches (Creswell, 2014:3).

There are two categories of research design, namely, qualitative and quantitative. Qualitative research employs non-statistical procedures to attain profound insight into a research problem, while quantitative research uses statistical procedures to describe occurrences under study (Andrew *et al.,* 2011:46).

3.1 Research Approach.

Creswell (2014:3) defines research approach as “plans and the procedures for research that span the steps from broad assumptions to detailed methods of data collection, analysis, and interpretation”. The research approach provides researchers with methods and procedures for collecting raw data and analysing it. There are three basic approaches to research, namely, the quantitative approach, the qualitative approach and mixed approach. The quantitative approach entails the creation of data in a quantifiable form, which could be exposed to severe analysis in a prescribed and inflexible manner. The qualitative approach, on the other hand, mainly deals with the subjective valuation of attitudes, ideas and actions. This approach produces results in a manner in which they are not exposed to severe

quantitative analysis (Kothari, 2006:5). The mixed method approach incorporates both qualitative and quantitative research to broaden the understanding of the phenomenon understudy. The main objective of this approach is to provide supportive information (Creswell, 2009:204,205,208).

Burns and Grove (2003:19) define qualitative research as “a systematic and subjective approach used to describe life experiences and situations to give them meaning”. It focuses on the completed product, namely, the nature of the study being planned, as well as the projected outcomes of the study (Mouton, 2006: 55-57). Qualitative research is used to investigate the experiences, feelings and perspectives of people. Unlike quantitative research, which is concerned with statements regarding occurrences and frequencies, qualitative research is concerned with a wealth of information, as well as observing patterns in the reactions and responses of the participants (Reichelt, 2007; Ritchie & Lewis, 2003).

Quantitative approach is defined as (Creswell, 2003:18):

> is one in which the investigator primarily uses postpositivist claims for developing knowledge (i.e., cause and effect thinking, reduction to specific variables and hypotheses and questions, use of measurement and observation, and the test of theories), employs strategies of inquiry such as experiments and surveys, and collects data on predetermined instruments that yield statistical data.

Johnson *et al.* (2007:113) defines mixed methods as: “an approach to knowledge (theory and practices) that attempts to consider multiple viewpoints”. This method permits the inclusion of various methods for gathering data, such as, questionnaires, interviews, observations, etc.

The approach employed in this study was qualitative with a bit of quantitative approach. This approach was selected because the aim of the study was to investigate the experiences, feelings and views of participants with a specialised knowledge and experience of HRM.

3.2 Research methods.

Research methods fall into one of two categories, namely, quantitative methods or qualitative methods. Quantitative methods include all those research techniques that comprise the statistical measurement of effects, while qualitative research methods consist of all those techniques with no statistical measurement, in which the researcher is interested (Bryan & Whaley, 2014:12).

Gomez & Jones (2010:194) refer to research methods like surveys, interviews and focus groups as verbal research methods. These include Internet surveys, online focus groups and e-mail interviews that could integrate a set of questions within an e-mail or a file containing semi-structured questions attached to an e-mail. They are convenient, time-efficient and facilitate input from participants from all over the world (Reynolds *et al.,* 2007:42).

According to Phillips *et al*. (2013:2), surveys come in numerous forms, which include self-managed questionnaires, panel surveys, telephonic surveys and captured surveys. Survey research has features that are similar to other research methods, although it demonstrates some significant dissimilarity. It is regarded as less difficult than experimental research, and is more appropriate than experimental research in studying a large number of cases, together with those that are substantially dispersed (Connaway *et al.,* 2010:108).

Since the nature of the study was mostly qualitative with some element of quantitative technique. For qualitative approach the researcher used an interview schedule to conduct semi-structured interviews to gather information from the participants, which enabled her to ask probing questions in addition to the structured interviews. Concerning quantitative technique, she also employed a performance assessment questionnaire to collect data from participants who were asked to rate the implementation of different HRM functions. Country-wide telephone and internet surveys were also employed to reach considerably dispersed target population.

3.3 Epistemology

Tennis (2008:103) describes epistemology as: “how we know” about the phenomenon, while Nutter (1987) (cited by Guarino, 1995:628) defines epistemology as: “the field of philosophy which deals with the nature and sources of knowledge”. The Stanford Encyclopedia of Philosophy (2005:1) states that: “epistemology is about issues having to do with the creation and dissemination of knowledge in particular areas of inquiry”. According to Tennis (2008) epistemology is a significant component of the knowledge organisation framework since it reflects our assumptions regarding the language. This refers to the knowledge the researchers would like to understand and the possible ways they could obtain the knowledge regarding the phenomenon under study. Guarino (1995:626) argues that knowledge is much more associated with the concept of truth envisioned as related to the real world. Epistemology has an impact on the methodology and methods chosen for the research studies.

This study explored the ‘truth’ regarding the evaluation of HRM practices at the two tertiary institutions, the researcher had devoted herself to find out the truth in an epistemological perspective. Tennis (2008) further mentions that epistemology is a significant component of the knowledge organisation framework since it reflects our assumptions regarding the language. According to Trabattoni (2016:129), language is the means by which to acquire intellectual knowledge. This study required the respondents to use language to describe their experiences regarding an evaluation of HRM practices at their institutions. This was achieved by means of unstructured interviews to investigate the experiences of the Deputy Vice-Chancellors, HRM staff members, as well as their clients with regard to the evaluation of the HRM function at their institutions.

3.4 Ontology

Guarino (1995:628) on the other hand, describes ontology as: “a study of the organisation and the nature of the world independently of the form of our knowledge about it”. According to David and Sutton (2004), ontology allows the researchers to reveal how their views of human nature influence the approach they knowingly adopt

to reveal social truths, e.g. the choice of the unit of analysis. Ontology could be useful to the knowledge-construction process in producing high-value knowledge sources (Guarino, 1995:626). Ontology also influences the methodology and methods selected for the research study. Ontology formed the basis of utilising triangulation to produce high-value knowledge sources (inclusive of participation by and observations of the researcher).

3.5 Organisations

The organisations under study included two tertiary institutions located in the Western Cape Province. The institutions' identity will be kept anonymous to maintain their privacy in this study. They will be referred to as institution 'A' and institution 'B'. Their line of business entails teaching, research and community engagement.

The first institution, namely, institution 'A', consists of six faculties, namely, Commerce, Engineering and Built Environment, Health Science, Humanities and Law and Science. This institution has five campuses with a staff complement of 4,500 employees consisting of a Vice-Chancellor, Deputy Vice Chancellors, Registrar, Executive Directors, academic staff consisting of Deans, Professors, Directors, Heads of Departments, Senior Lecturers, Lecturers, and administrative staff comprising of Managers, Administrative Officers, Assistant Administrators and Secretaries, as well as manual labourers.

Institution 'B' is comprised of six campuses and six faculties. This institution has a staff complement of 1,723 employees, comprising of the Vice-Chancellor, Deputy Vice-Chancellors, Registrar, Executive Director, academic staff comprising of Deans, Professors, Directors, Faculty Research Coordinators, Senior Lecturers, Lecturers, and Administrative staff consisting of Directors, Faculty Managers, Coordinators, Administrative Officers, Assistant Administrators and Secretaries, as well as manual labourers.

3.6 The Target Population.

The target population of institution A is comprised of four Deputy Vice-Chancellors,

one Executive Director, four Senior HR practitioners, 51 Heads of departments, 25 Subject Librarians and Postgraduate Funding administrators. The target population for institution B was comprised of two Deputy Vice-Chancellors, six Deans, one Acting HRM Director, four HR managers and five HR practitioners, six Faculty Research Coordinators, one Deputy Director, five Library Faculty Managers and a newly appointed HRM Executive Director. This population is comprised of people with in-depth knowledge of the HRM function. For instance, the DVCs in both institutions were part of the top management. They are the drivers of the institutional vision and strategic goals, and they need human capital to achieve these goals. Their inclusion in this study was to determine their perceptions of the HRM function and whether they regarded HRM as part of the institutions' top management. Another category included were the 'clients' of HR services, as well as the researcher as an active participant in the research process. The reason for including the researcher was that some authors are of the opinion that the researcher is part of the research process (Klenke, 2016;11; Tayie, 2005:86; Smith, 1983).

The Executive Directors and the Acting Director of the HRM departments were responsible for the human capital component of the institution, as well as ensuring that this department performed as required, in order to achieve its strategic goals, as well as the institutional strategic goals. As part of the institutional management team, the Deans were also clients of the HRM department since to achieve their faculties' goals, they needed human capital to execute the realisation of organisational objectives. Human resources could only be recruited through the assistance of the HRM department. They had in-depth knowledge of what was expected of the HRM function, since they were the end-user their services. Their involvement in the study was to gain insight of their experiences, feelings and views of the HR service delivery. Another category for this target population includes HR managers and practitioners who were actually responsible for the HR practices in the study. They had first-hand knowledge of the HRM functions since these functions formed their key performance areas.

The job categories of the target populations in both institutions A and B are outlined in Table 4.1 and Table 4.2.

Table 4.1: Target population and Sample – institution A

Target population		Sample	
Job Category	Number	Job Category	Number
Deputy Vice-Chancellor	4	Deputy Vice-Chancellor	1
HR Executive Director	1	HR Executive Director	1
Senior HR Practitioners	4	Senior HR Practitioners	3
Subject Librarians	25	Subject Librarian	1
Head of departments	51	Head of departments	2
Postgraduate Funding Administrator	1	Postgraduate Funding Administrator	1
Total	**86**	**Total**	**9**

Table 4.2: Target population and Sample – institution B.

Target population		Sample	
Job Category	Number	Job Category	Number
Deputy Vice-Chancellors	2	Deputy Vice-Chancellor	1
Deans	6	Dean	1
Acting HR Director	1	Acting HR Director	1
HR Managers	4	HR Managers	2
HR Practitioners	5	HR Practitioners	1
Faculty Research Coordinators	6	Faculty Research Coordinators	2
Deputy Director	1	Deputy Director	1
Executive HR Director	1	Executive HR Director (New)	1
Library Faculty Managers	5	Library Faculty Managers	1
Total	**31**	**Total**	**11**

3.7 Sampling Techniques

3.7.1 Definitions of Purposive Sampling.

Gerrish and Lacey (2010:149) define purposive sampling as “one where people from a pre-specified group are purposely sought out and sampled”. Singh (2006:91) maintains that purposive sampling is chosen by some random technique, since it is known to be representative of the total population. Macnee and McCabe (2008:121) also maintain that it consists of intentionally selected participants who have an in-depth knowledge related to the purpose of the research, founded on the approach chosen by the researcher. They are selected with a purpose because they possess the experiences required by the researcher for the relevant information (Ritchie &

Lewis, 2003).

According to Gerrish and Lacey (2010:149), however, purposive sampling is not typically representative of the whole population under study. Instead, it is employed to produce descriptive frameworks. In qualitative studies, the representativeness of the population is not called for, as these studies are exploratory in nature, and generalisation from the sample to the population is not an issue. The researchers employing this type of sampling method use it to produce rich facts from a few cases. Hence, sampling decisions are essential (Tashakkorie & Teddie, 2009).
The researcher employed purposive sampling in this study, and since the study involved the evaluation of the HRM function, she selected participants from HRM departments as well as their clients, who are experienced in HRM functions.

3.7.2 Advantages and disadvantages of sampling techniques.

Sampling techniques have both advantages and disadvantages, and these are described below.

3.7.2.1 Advantages

According to Singh (2006) advantages of purposive sampling include:

- Employment of the best existing information regarding the sample issues.
- Enhanced management of important variables.
- Sample group facts could be harmonised without any problem.
- Uniformity of subjects employed in the sample.

Advantages of purposive sampling are outlined as (Blankenship, 2010:89; Macnee & McCabe, 2008:121,122):

- Being comparatively easy and reasonable to attain.
- It vigorously seeks to enhance the data by including participants who have a specific type of experience, characteristic or understanding to share.
- It enables a researcher to acquire information from professionals.
- It permits a researcher to utilise time efficiently to collect rich data.

3.7.2.2 Disadvantages

The potential disadvantages of purposive sampling include (Gray, 2009:153,154; Macnee & McCabe, 2008:121,122):

- Consistency of the measure is doubtful.
- Information of population is critical.
- Inaccuracy in categorising sampling issues.
- Incapability to employ the inferential parametric statistics.
- Incapability to create simplification regarding total population.
- There is a likelihood of impulsively aiming the data collection on one experience or understanding and omitting the wider range of data that may come from a convenience sample.
- It produces a group of participants that is not varied and cannot deliver the required richness of detail about the phenomenon of interest.
- The researcher may unintentionally overlook a key characteristic or may be subconsciously prejudiced in choosing the sample.

The purposive sampling technique in this study was employed by purposely selecting people from the two tertiary institutions who had experiences about which the researcher wanted to gain information, namely the evaluation of HR practices from HRM staff in both institutions, who were keen to talk about their experiences and views. It also included people who were willing to express their perceptions and experiences regarding the services rendered by the HRM department.

3.8 The Sample

Sample size is mainly a function of the purpose of the investigation, the quality of the informants and the type of sampling strategy employed (Profetto-McGrath *et al*., 2010:219). Although the sample size is critical in quantitative research, where a large sample size is significant for the representativeness of the population, it does not play a significant role in qualitative research (Klenke, 2008:10). According to Silverman (2006:20), the qualitative interview studies are usually undertaken with small samples, and Ritchie and Lewis (2003) maintain that a larger sample could lead to an interview not producing fresh facts, and this would result in a saturation of

information mentioned earlier during the process of data collection. Reichelt (2007) maintains that:

> Qualitative research is not about numbers, it is about the richness of the information and the insight you can get access to by spending time with the people who form your audience (or potential audience) and looking for patterns in their reaction and responses. …increasing the size of your sample so that it seems more 'valid' is a waste of time and money as the later interviews become more and more a repetition of findings you've already identified and confirmed.

This means that qualitative research is actually aimed more at obtaining the relevant information from a smaller sample knowledgeable of the phenomenon under study rather than placing its emphasise on a larger sample providing one with similar information, leading to duplication of information, which is time consuming.

Ritchie and Lewis (2003) further mention three reasons why the sample should be small:

- Firstly, if the data is correctly scrutinised, there is a possibility that very limited fresh facts may be obtained from each additional field of study. This is caused by the fact that the phenomenon under investigation needs to occur only once in order for it to be a part of the analytical plan. In addition, increasing the sample size will no longer produce new evidence.
- Secondly, the researcher is not concerned with statements regarding the rate of recurrence, and as such, there is no necessity to ensure that the sample is of an adequate degree to establish statistically noteworthy biased variables. This is in contrast to a survey sample; where there is a need to have a sufficient size in order to illustrate statistical inference with required accuracy.
- Finally, the kind of information produced by qualitative studies is loaded with facts, meaning that there will be many pieces of information from each part of the data collection. Hence, these sample sizes need to be kept in a practically small range. Qualitative research is extremely concentrated with regard to the research resources it needs.

Reichelt (2007) further maintains that qualitative research is not concerned with

numbers. Thus, this researcher was not concerned with numbers in this study. Instead, she was concerned with the wealth of information, as well as observing the reactions and responses of the respondents. The sample was comprised of a total of 20 individuals, that is, nine from institution A and eleven from institution B. These were drawn from HRM departments, as well as management within these institutions, particularly individuals with in-depth knowledge pertaining to the research questions.

The sample was initially meant to be made up of 10 people from each institution, but it ended up with nine from institution A and 11 from institution B. The reason for institution A to have only nine individuals instead of 10, was because all the attempts by the researcher to contact the tenth participant by telephone or e-mails failed, and the reason for institution B to have 11 individuals as a sample was because, the vacant Executive HRM Director's position was later filled with a new incumbent, who was also asked to complete the performance assessment questionnaire.

3.9 Data collection methods.

3.9.1 Introduction

According to Landy and Conte (2010:61), qualitative methods comprise procedures like observations, interviews, case studies and analysing diaries or written documents. However, these techniques are not intended to accurately measure a variable of interest, instead, they are focused on increasing our understanding pertaining to variables on as many levels as possible. They also depend on the participants' sharing of their views, emotional state, as well as experiences (Macnee & McCabe, 2008:167).

3.9.2 Interviews.

3.9.2.1 Definition of an Interview.

Kvale (1983:174) defines the qualitative research interview as "…an interview, whose purpose is to gather descriptions of the life-world of the interviewee with

respect to interpretation of the meaning of the described phenomena". Qualitative interviews involve direct personal contact with the participants who are asked to respond to questions pertaining to the research problem (Bless *et al.*, 2006:116). In fact, there are other forms of interviews besides face-to-face interviews. These include telephonic interviews; e-mail and MSN messenger interviews (computer mediated communication)
(Opdenakker, 2006; Cisneros-Puebla *et al.*, 2004). These will not be discussed in detail in this chapter since they were not employed in this study. Interviews generate quotations from participants regarding their experiences, views, feelings and understanding (Cisneros-Puebla *et al*., 2004).

3.9.2.2 Semi-structured interviews.

Bernard (2011) defines a semi-structured interview as “open ended, but follows a general script and covers a list of topics’. In semi-structured interviews, the process of questions focuses on pre-determined issues and topics in a flexible manner. The interviews are intended to centre on themes, and yet remain flexible enough for questions to be manoeuvred into areas that show potential with respect to presenting rich data and in-depth information. The structured interview contains a schedule of questions that could easily be filled in by the interviewer. Unstructured interviews, on the other hand, comprise more data (Crowther & Lancaster, 2009:147; Mitchell & Jolley, 2010:277). These are usually the only basis for qualitative research and are often structured in advance at a chosen moment and place (DiCicco-Bloom & Crabtree, 2006).

Interview data could be collected electronically. Electronic devices, such as video-and-tape-recorders are often employed since they produce a full account of what was said or done. However, such recordings, particularly audio recordings, need to be transcribed, and this is a strenuous process. It may also create a barrier between the interviewer and the respondent, as many subjects may feel intimidated by the presence of such devices, or may even alter answers (Marsh, 2013:53). Opdenakker (2006) also maintains that some people might not like to be recorded, and in such cases, permission could be sought for recording the interview.
Crowther and Lancaster (2009:82) further maintain that the recording, storage and

retrieval of data play a significant role in the quality of the data. Hence, care should be taken regarding the recording and storage of data.
Another popular method for gathering interview data is writing down answers. With hand-written data collection, interviewers are less likely to watch the interviewees and thus avoid eye contact, which could be viewed as rude and, in extreme situations, might be deemed threatening or intimidating. It also minimises body signals.

3.9.2.3 Use of an Interview schedule by an Interviewer.

Marsh (2013:49) and Monette *et al.* (2013:176) define an interview schedule as "a list of every question to be asked in the exact order of asking". Heid (n.d.) describes it as "a set of instructions which include questions that are intended to be asked during the interview and how to make a follow-up as well as duties to be undertaken by the interviewer during an interview". This implies that an interview schedule is a list of questions prepared by the researcher prior to commencement of interviews. According to Monette et al. (2013:176), a schedule-standardised interview is mostly organised in nature. The interview schedule consists of particular instructions for the interviewer that are specific to the questions that would be asked in a static order. It also includes transition phrases to be used by the interviewer. Both the interviewer and the respondent are not allowed to depart from the structure of the schedule. Interview schedules could also be used by untrained and part-time interviewers, since the schedule covers nearly everything that needs to be said. They could also be an ideal choice for studies with large sample sizes and many interviewers. Marsh, (2013:49) further argues that structured interviews utilise interview schedules, and the schedule is then followed with each interview.

A good interview would develop with a good conversational flow, which allows both the interviewer and the interviewee to become relaxed. Interview schedules may sometimes be complex to use, since interviews frequently do not go completely according to plan (Murchison, 2010:107). According to Marsh (2013:49), the interviewer takes considerable time in organising the schedule, and considering the nature of the questions and the sequence. Such schedules should commence with a brief introduction, explaining who the interviewer is, the organisation he/she

represents and the purpose of the interview. Confidentiality and anonymity should also be emphasised. Monette et al. (2013:176) also maintains that even if some questions may be open-ended, most are closed-ended. Some schedule-standardised interviews are similar to a questionnaire, with the exception of the interviewer asking questions rather than having the respondent read them.

Murchison (2010:107) further provides a sequence for the development of interview schedules as follows:

- Prior to the first interview, the interviewer should develop a list of questions that need to be answered. This list should cover the main topics and encompass prompts that would provoke stories and lengthy explanations.
- The list should then be arranged in a reasonable order by placing related or follow-up questions together with interrelated questions and so forth.
- After the schedule has been completed, the interviewer needs to be familiar with the schedule, in order to enable him/her to be comfortable going into the interview. Although the interviewer may take a copy with him/her for reference, it is preferable to focus most of the attention on the interviewee and her responses rather than having to frequently consult it.
- Even though the interviewer was working from the schedule, he/she should feel free to ask additional questions that seem relevant during the interview. There is a possibility that some questions may be unnecessary since they have been answered in the course of other questions.

By working loosely with the interview schedule and listening closely to the interviewee's responses, the interviewer could respond to the opportunities of a specific interview and continuously review the schedule based on his/her interview experiences.

Bruce & Friesen (2010) maintains that consideration must be given to the overall design of the interview schedule. It is equally vital to pay attention to presentation and format, in a situation where an interviewer employs the schedule to pose questions to an interviewee. This is because interviewers could become confused by a poorly prepared schedule, even though they may be quite familiar with the overall goals of the project.

The researcher compiled an interview schedule for this study, which contained a list

of questions based upon the research questions pertaining to the evaluation of HRM practices. She familiarised herself with it prior to going into the interview. This helped her to focus her attention on the interviewee's responses. The interview commenced with a brief introduction explaining who she was, the organisation she represented as well as the purpose of the interview. She also indicated that the information gathered would be treated with confidentiality and anonymity. She also asked for a permission to record the interview, since some people might not like to be recorded.

3.9.2.4 Advantages of Interviews.

According to Opdenakker (2006), the advantages of face-to-face interviews are as follows:

- The interviewer could obtain more information through social signals, such as voice, tone and body language. This information could be added to the verbal responses of the participants as required by the interviewer.
- There is no considerable time delay between question and answer. Both the interviewer and interviewee could openly and spontaneously respond to what the other is saying.

Sommers-Flanagan and Sommers-Flanagan (2012:288) outline advantages related to structured investigative interviews as follows:

- Interview schedules are standardised and straight-forward to manage. Experts could ask clients specific diagnostic-appropriate questions.
- Interview schedules usually create a Diagnostic and Statistical Manual of Mental Disorder (DSM-IV-TR) diagnosis, thus relieving clinicians of subjectively considering many alternative diagnoses.
- The interview schedules usually display a greater interrater consistency than scientific interviewers operating without such schedules.
- These interviews are suitable for scientific research. It is imperative that the researcher gets valid and reliable analyses to successfully study the nature, course, prediction and treatment receptiveness of specific conditions.

3.9.2.5 Disadvantages of interviews.

According to Opdenakker (2006), the disadvantage of face-to-face interviews is that visibility could lead to disturbing interviewer outcomes, especially when the interviewer drives the interviewee in a special course, with his or her behaviour.

Sommers-Flanagan and Sommers-Flanagan (2012:288) mention some disadvantages related to analytical interviewing:

- Many diagnostic interviews require substantial time for administration.
- The interviews don't allow experienced diagnosticians to take shortcuts. This may be awkward because specialists in psychiatric diagnosis might need far less information to accurately diagnose clients than starting interviewers do.
- Some clinicians complain that diagnostic interviews are too organized and inflexible, de-stressing the rapport-building and basic interpersonal communication between the client and the interviewer.

Since the research approach employed in this study was qualitative, face-to-face interviews were used as a means of collecting data. This was because the interviewer obtained more information through social signals, such as voice, tone and body language. This information was added to the verbal responses of the participants as required by the interviewer. There was no time delay between question and answer. Both the interviewer and interviewee could openly and spontaneously respond to what the other was saying. It was possible to ask follow-up questions for clarification purposes.

3.9.3 Triangulation

Flick *et al.* (2004:179) describe triangulation as referring to "…the observation of research issues from at least two different points", and is most frequently achieved by means of applying different practical approaches. Triangulation is a technique used in qualitative research to test the trustworthiness of the study in qualitative research, and it involves the gathering of data from numerous different sources, or at several times (Hair *et al.,* 2011:289). Multiple triangulation data-gathering methods enable the researcher to check what he/she has been told in an interview against

what he/she observes on site or what he/she has read about in documents pertinent to the phenomenon of interest (Merriam, 2009:126). According to Streubert and Carpenter (2011:356), with triangulation the researchers employ different methods of data collection, but each method is within the similar research tradition. They may combine interview with observation, and the purpose of combining the data gathering techniques is to provide a more rounded and better understanding of the phenomenon under study. According to Jack and Raturi (2006) cited in Bikner-Ahsbahs *et al.,* (2015:408) the reasoning behind employing methodological triangulation entail wholeness, contingency and corroboration.

3.9.3.1 Advantages of triangulation.

Triangulation, as a data gathering method, may be beneficial to the study of complex phenomena, it also contains several disadvantages. These are discussed below (Salkind, 2010:1538, 1539):

- Triangulation permits researchers to reduce the subjectivities inherent in using a single research method.
- Studies that use numerous techniques produce multiple types of data provide the opportunity for comparing and substantiating findings.
- Every type of data has strengths and limitations, using a mixture of methods assist to compensate for the flaws found in one method.
- Since observations are restricted in that the observer might focus attention on one specific side of the circumstances, while overlooking more significant events. The presence of observing researcher may have an effect on the participants in unnoticed ways.
- Interviews might produce data that are affected by the interviewer's exceptional style of communication, by the personal recollection or clarification of responses or by the interviewees' assumptions about or reactions to the interviewer.
- Archived documents are inclined to be restricted by the specificity of the information covered in written records, prejudices of the document writer, or misrepresentation of information. Since there are inherent restrictions of these and other research approaches, investigators may improve the reliability of findings by building in the use of numerous sources of data through triangulation.

- Triangulation allows the researcher to benefit from the strengths of each method and decrease the effect of in-built weaknesses in a single method.
- Triangulation is helpful in that it permits the expression of numerous viewpoints on the problem and encourages the researcher to consider various realities.

3.9.3.2 Disadvantages of triangulation.

Although triangulation offers many advantages to the study of intricate phenomena it contains several disadvantages. The disadvantages include the following (Salkind, 2010: 1538,1539):

- Triangulation does not at all times reduce partiality. A researcher might triangulate employing data gathered through diverse approaches, but if that data are derived from a common source, such as single individual, then partiality remains. Even though the findings are validated from two diverse sources, a researcher cannot guarantee that both sources do not yield data that is defective. If the researcher's conclusions based on this information unavoidably would be affected.
- It is not unusual to obtain conflicting data, in studies that employ methodological triangulation, investigators differ concerning how to interpret discrepant findings.
- Data resulting from diverse techniques cannot essentially be compared and viewed as comparable in their ablity to address a research question, for instance data gathered from a journal entries might vary radically from data gathered in interviews, since one technique stimulates private thoughts, while the other taps communication within a social framework.
- Triangulation could be costly and time consuming, as such, employing several investigators, methods, hypothetical perspectiives, and techniques would be contingent on the resources allocated for the study.
- Since studies employing triangulation could be complex, novice researchers would struggle to understand different results.

This study utilised triangulation by collecting data from different sources and making use of different data collection techniques. One of the data collecting technique used by researcher was semistructured interviews, in which an interview schedule was

employed. Another instrument used for collecting data was a performance assessment questionnaire which was completed by the HRM department staff, the HRM clients and the researcher. The researcher employed triangulation in this study because it used numerous techniques to produce several types of data that provided her with an opportunity to compare and substantiate the findings. It also enabled her to benefit from the strengths of each method and reduce the effect of built-in flaws in a single method. She was able to obtain numerous viewpoints on the problem and was encouraged to consider various realities. Ideas that materialised from data were re-confirmed from the new data, which meant that the researcher was constantly checking and rechecking the data in order to build a solid foundation for the study The researcher, for the purposes of this study asked permission to use a voice recorder, and avoided employing it without letting the participants know this beforehand (Crowther & Lancaster, 2009:82).

The researcher also conducted country-wide surverys at tertiary institutions around the country. The reason for this was to establish whether the HRM function evaluation was conducted at tertiary institutions country-wide.

3.9.4 Performance Assessment Questionnaire (HRM).

The researcher needed to formulate a comprehensive plan of action, which would contain such tools as a performance assessment questionnaire and an interview schedule for his/her use to make sure that there was nothing forgotten or omitted as an oversight (Secord, 2003:46). A performance assessment questionnaire of HR audits is of great assistance to HR managers since the evaluation of the HRM function is useful to validate the existence of the department and the expenses incurred (Aswathappa, 2007:613). According to Bhattacharyya (2006:400), measuring the effectiveness of human resource management necessitates the development of a set of questions. When developing the audit questionnaire, areas served by the HRM department need to be identified, and all the questions necessary to ensure a comprehensive evaluation of those areas, need to be listed. This may be done with the assistance of the attorney's questionnaire or the organisation may prefer to develop their own questionnaire or use HR audit tools developed by HR consultancies (Johnson *et al.,* 2006:209). According to Masaoke

(2011:350), some questionnaires are much too abstract while others focus on organisational factors.

The researcher developed an HRM function performance assessment questionnaire, comprising of 83 statements on recruitment, selection, performance management, learning and development, compensation and benefits, as well as employee relations management. The participants were asked to rate these statements with weighting points 1-10 (extremely below average = 1-2, below average = 3- 4, satisfactory = 5-6, very good = 7-8, exceptional = 9-10). This questionnaire was completed by the HRM Executive Directors, managers, practitioners and HR clients, prior to interviewing.

3.9.5 Focus group interviews.

Bhattacharyya (2006:56) describes focus group interviews as "…a survey research instrument, which can be used in addition to or instead of a personal interview approach". Group interviews permit interviewers to attain a broader range of experience. These usually assume the form of focus groups in which several respondents share information or their experience pertaining to a particular theme (DiCicco-Bloom & Crabtree (2006). The researcher encourages the group to have interactive group discussions on his/her pre-arranged areas of interest (Crowther & Lancaster, 2009:149). According to Connaway and Powell (2010:43), this kind of interview is designed to investigate the deeper emotions and convictions of people, and to gain knowledge on how these convictions form the obvious behaviour.

The researcher employed focus groups consisting of four HR managers in this study, in order to explore their in-depth emotions and beliefs pertaining to the evaluation of human resource functions. The respondents were able to share their experiences and deep convictions regarding HRM functions.

Table 4.3: Research Questions and HR Performance Assessment Questionnaire Statements.

Research Questions	Questionnaire Statements
1. As an HR Executive Director, how do you think management perceives HR as a whole in this institution?	1. The perception of management of HR as a whole.
Recruitment	
1. To what extent is the recruitment function evaluated? 2. Does a recruitment policy exist at this institution? 3. How do you ensure that appropriate media is used for recruitment?	1.The recruitment function is evaluated annually. 2.The recruitment policy is reviewed annually. 3.Appropriate media are used for recruitment.
Selection	
1. To what extent is selection function evaluated? 2. What processes and procedures are in place to ensure that the function is in line with legal requirements? 3. Are all stakeholders consulted in the formulation and amendment of the selection policy?	1. The selection function is evaluated annually. 2. Interviewers ask questions that are Legal. 3. All stakeholders are consulted in the formulation and amendment of the selection policy.
Performance Management	
1. To what extent is performance management evaluated? 2. Does the institution have a performance management policy in place? 3. To what extent is the performance management policy reviewed?	1. The performance management system is evaluated annually. 2. A written performance management policy is in place. 3. The performance management policy is reviewed regularly.
Compensation	
1. To what extent are compensation systems and processes evaluated? 2. How do you determine your annual salary increase? If discussed at meeting, which stakeholders are represented in it? 3. In case of promotions how are salaries determined?	1. The compensation systems and processes are evaluated regularly. 2. Compensation plan is communicated to all stakeholders. 3. All stakeholders are consulted in the review of the policy.

Table 4.3: Research Questions and HR Performance Assessment Questionnaire Statements cont'd.

Research Questions	Questionnaire Statements
Training and Development	
1. To what extent is training and development function evaluated? 2. What systems do you have for training and development? 3. Do you use different training for different levels of positions?	1. Training and development function is regularly evaluated. 2. There are proper training processes and procedures in place. 3. The same training processes are used for different levels of positions.
Industrial Relations	
1. To what extent is industrial relations function evaluated? 2. What have you done to ensure that you have proper industrial relations processes and procedures are in place? 3. How do you handle your grievance processes?	1. Industrial relations function is evaluated regularly 2. There are unions representatives in place 3. Grievance procedures are handled in a fair and consistent manner.

3.9.6 Countrywide survey.

A country-wide survey was employed via telephone and emails for the purposes of this study, to reach a geographically dispersed target population. The researcher initially made telephone calls in which she introduced herself and to make known the purpose of the call prior to sending e-mails to these institutions. Attached to the e-mails was a memorandum containing the following three statements concerning assessment of a HRM department:

- The performance of the HRM department is audited/assessed at least once per year.
- Each of the HRM functions is covered by the audit/assessment.
- I am satisfied with the performance of the HRM department in the carrying out of its mandate.

A statement regarding confidentiality was also included. Persons responsible (DVC/Registrar/HR managers) were asked to rate the HRM department and its function using a Likert scale of 1-5, 1 being "strongly disagree" and 5 being "strongly agree". This survey was found to be convenient and time-efficient.

3.10 Data Analysis.

3.10.1 Methods of Analysing Qualitative Data.

3.10.1.1 Introduction

According to Crowther and Lancaster (2009:183), “qualitative analysis involves the analysis of data that is not amenable to numerical measurement”. This implies that it cannot be interpreted into data that is adaptable to quantitative methods (Lancaster, 2005;161). Crowther and Lancaster (2009:183) further provide two broad alternative techniques for analysing qualitative data, which include content analysis and grounded theory.

3.10.1.2 Content Analysis.

Neuendorf (2002:36) outlines Lasswell’s et al. definition of content analysis as: “…a technique which aims at describing, with optimum objectivity, precision, and generality, what is said on a given subject in a given place at a given time”. Berelson (1952:18) describes content analysis as “a research technique for the objective, systematic and quantitative description of the manifest content of communication” According to Welman *et al.* (2005:221), content analysis “...involves counting frequencies and sequencing of particular words, phrases or concepts in order to identify keywords or themes”. From these definitions it could be concluded that content analysis entails checking the related expressions used in the text and organise them into themes.

Bryman and Bell (2011:290) maintain that the aim of content analysis is to create a number of occurrences of raw material with regard to specified groupings. The researcher decides before-hand on the issues to be looked at and measured by means of qualitative research, and then creates structures of categories for assisting the content of the data with regard to these measures (Lancaster, 2005:162).

Kabanoff’s *et al.* (1995) (cited by Tharenou *et al.*, 2007:262) outline advantages of

content analysis as:

- Content analysis illustrates organisational values inconspicuously.
- Content analysis permits a systematic and quantitative approach in dealing with qualitative data.
- It merges qualitative and quantitative components by measuring data that is usually regarded as qualitative in nature.
- It assesses organisational values over extensive time and for comparatively large organisational samples. The examination of documents is appropriate for longitudinal research, which emanates from the accessibility of various kinds of text over extended periods of time.
- It employs naturally induced oral behaviour as a basis of data on values.

Content analysis was employed in this study to set up categories, as well as counting the number of instances when they are utilised in the text by the respondents during interviews. This exercise enabled the researcher to identify the main themes.

3.10.1.3 Grounded Theory Method.

Tharenou *et al.* (2007:259) describe grounded theory as “a systematic approach to generating substantive theory that relates to a particular phenomenon of interest”. According to Mateo *et al.* (2009:146), “grounded theory involves a process of analysis that leads toward the identification of a core variable, a central concept that describes the experience being studied, and of categories of information or themes that contribute to that core of the experience”. Lancaster (2005:163) maintains that this theory enables the researcher to identify main themes, patterns and groups from the qualitative data.

The principal factors of grounded theory are the regular assessment of data with surfacing groups of information and theoretical sampling to address the correlation and dissimilarities in the data (Creswell 2003). Grounded theory is mainly an inductive method, in which theory is created from watching the practical reality. When applied, it links deductive method, in which a theoretical and notional framework is developed and then examined by practical observation, and inductive sense in a repeated process of collecting and examining data, to develop substantive theory

(Tharenou *et al.*, 2007:260; Welman *et al.,* 2007:28,34).

i) Tools of grounded theory.

(a) Theoretical sampling.

Glaser and Strauss (1967:45) describe theoretical sampling as:

> … a process of data collection for generating theory whereby the analyst jointly collects, codes, and analyses his data and decides what data to collect next and where to find them, in order to develop his theory as it emerges.

This method of sampling is used in grounded theory studies and requires researchers to be involved with multiple lines and directions as they go back and forth between data and categories as the theory occurs (Profetto-McGrath *et al*., 2010:219). Hage (2007:63) maintains that the goal of theoretical sampling is to achieve a deeper understanding of analysed cases and to enable the development of an analytic frame and concepts used in the research. Profetto-McGrath *et al.* (2010:219) further assert that its purpose is to recognise groups and their properties and to offer interrelationships that occur in the substantive theory. These categories are selected as they are required for their theoretical significance in advancing the occurring conceptualisation. According to Gerrish and Lacey (2010:432), the most normal way for categorising data is to assign codes to it, and these codes may occur as the fieldwork unfolds.

(b) Coding

According to Bryman and Bell (2011:577), coding is a central process in grounded theory in which data is fragmented into component parts that are allocated names. The data is viewed as possible pointers of ideas. Major ideas are selected and sentences or phrases are coded in proportion to their alleged implication (Crowther & Lancaster, 2009:185).

Welman *et al.* (2007:28,34) assert that the aim of coding is to examine and demonstrate the meaning of the gathered data. The notes collected during the interview are organised and allocated codes that attach a meaning to them. These codes are utilised to extract and arrange a large amount of data into groups relative to certain themes. This process, done with all of the data gathered in the study,

decreases the huge bulk of data in the texts into smaller parts that then become the focus of further analysis. Working with these codes, the researcher starts to arrange the codes into a significant structure, with shared concepts collected together. He/she is looking for recurring ideas in the data, and the data is organised and reorganised into categories until clear themes can be identified (Mateo *et al.* 2009:146).

(c) Theoretical saturation.

According to Strauss and Cobin (cited by Bryma, 2012:421), theoretical saturation:

> …means, until that no new or relevant data seem to be emerging regarding the category, the category is well developed in terms of its properties and dimensions demonstrating variation and the relationships among categories are well established and validated.

According to Profetto-McGrath *et al.* (2010:219), a guiding belief in qualitative sampling is data saturation or overload, which is sampling to the point at which no new information is acquired. Information redundancy could typically be achieved with a fairly small number of cases, if the information from each is of sufficient depth. It is associated with the coding of data, meaning that the researcher has reached a position in which there is no longer a need to analyse the gathered data to establish how suitable it is with the researcher's ideas or categories. After the idea or group has been developed, the researcher may desire to proceed with the gathering of data to verify its nature and function, however, the researcher may then reach a position in which new data no longer enlightens the theory, in grounded theory (Bryman & Bell, 2011:577).

(d) Constant comparison numbering.

Constant comparison is a process of keeping up a close link between data and ideas to preserve the connection between theories and groupings. Particularly, the process of constant comparison directs the researcher to continuously compare phenomena being coded under a particular group in order to enable the theoretical explanation of that group to surface (Bryman & Bell, 2011: 577).

3.10.1.4 Identification of themes.

Grbich (2013:261) describes themes as: "…groupings, outcomes of coding/conceptualising; abstract constructs; and analytic patterns". The researcher in this case is looking for frequent ideas in the data, and the data is arranged into groupings until clear themes can be recognised (Mateo *et al*. (2009:146). Daley (2004) also argues that the identification of these themes necessitates the researcher to establish interlink between ideas. Card-sort techniques are a valuable approach to thematic investigation, whether done literally with cards or on paper. Identifying themes using this technique is a process that involves sorting parsed behavioural components into several piles and then describing the criteria that has been used to sort them into a pile (Daffern *et al.*, 2010:76).

Welman *et al.* (2007:211) argue that the identification of themes is one of the most essential tasks in qualitative research. They further outline techniques used in the identification of themes as highlighted by Ryan and Bernard (nd):

- Word examination: The recurrence of a word, significant words under reading large amounts of components: For instance, the matching up and consideration, and original expressions used in the study.
- Distinction of material, and looking for omitted information.
- Deliberate examination of linguistic characteristics: Descriptive terms, conversions and linking terms.
- The physical exploitation of words: Unmarked words, pawing, the process of cutting and the arrangement of text.
- Examination of secondary data.

Based on the above-named theories by different authors, it is clear that grounded theory is one of the approaches that could be used in qualitative research to develop theory from data. As such, grounded theory was used to create theory from the data collected from participants. It was employed by the researcher to identify themes, patterns and categories from the data gathered from participants. The researcher identified emerging themes in addition to those identified by means of the problem statement, research questions and study objectives, by going through the text and

highlighting the expressions that seemed to be of significance.

4. RELIABILITY AND VALIDITY.

Patton (2001) asserts that validity and reliability are two aspects that should be taken into consideration by qualitative researchers when designing a study, analysing results, as well as assessing the quality of the study. Joppe (2000, cited by Golashani, 2003:598) defines reliability as:

> …the extent to which results are consistent over time and an accurate representation of the total population under study …if the results of a study can be reproduced under a similar methodology.

This implies that the method and instrument used to analyse data should produce similar results when re-analysed at a later stage. Bashir *et al.* (2008) define validity in qualitative research as: "the extent to which the data is plausible, credible and trustworthy; and thus can be defended when challenged". But reliability and validity of qualitative research normally is frequently debated by qualitative researchers. They strongly consider both these concepts suitable for quantitative research paradigm, and not applicable to qualitative research paradigm, since they are inappropriate to establish 'truth value' in qualitative research (De Vos, 2012: 419; Shenton, 2004; Golafshani, 2003: 599,600; Altheide & Johnson, 1994). Morse *et al.* (2002), argued that:

> Strategies for ensuring rigor must be built into the qualitative research process per se. These strategies include investigator responsiveness, methodological coherence, theoretical sampling and sampling adequacy, an active analytic stance, and saturation. These strategies when used appropriately, force the researcher to correct both the direction of the analysis and the development of the study as necessary, thus ensuring reliability and validity of the complete project.

Guba (1981) suggests four criteria that need to be considered by qualitative researchers to ensure trustworthiness in qualitative studies, namely, credibility, transferability, dependability and confirmability. Shenton (2004) further maintains that Guba's concepts have been acknowledged by many researchers. These are discussed as follows:

4.1 Credibility

According to Gasson (2004:95) credibility refers to: “how we ensure rigor in the research process and how we communicate to others that we have done so”. To ensure credibility the researcher had to demonstrate that the investigation was conducted in such a manner that the participants were accurately identified and described. The researcher had to ensure that there was a match between her interpretation and the participants’ views (De Vos, 2012:419,420). The following strategies were applied to increase credibility:

4.1.1 Prolonged engagement.

According to Morrow (2005:252), credibility could be achieved by prolonged engagement with participants. The extended time period increases rapport which may lead to participants volunteering diverse and generally more sensitive information than they would at the beginning of a research project (Krefting, 1991:217,218). The prolonged engagement between the participants and the researcher enabled her to spend enough time to gain sufficient understanding of both institutions under study, as well as building trust with the participants during interviews (Lincoln & Guba, 1985:302).

4.1.2 Persistent observation.

The aim of persistent observation is to identify features and elements in a situation that are most relevant to the issues being pursued and focusing on them in detail (Lincoln & Guba, 1985:304). Credibility in qualitative research could be achieved by persistent observation in the field (Morrow, 2005:252). In this study, the researcher identified the participants’ behaviour in relation to the problem of evaluating HRM practices and focusing on them in detail.

4.1.3 Reflexivity

Long and Johnson (2000) argues that establishing consistency in qualitative

research study should include: self-description and reflective journal, which entails researchers reviewing their own points of view the same way as they scrutinise those of their participants. The researcher, as part of the research had examined herself in the context of the research. She had continuously reflected on her own characteristics and examined how they influenced data gathering and analysing in order to avoid being bias and approach the phenomenon under study with open mind (Krefting, 1991:218).

4.1.4 Peer and participatory debriefing.

Credibility in qualitative research could be achieved by the use of peer researchers in similar fields (Morrow, 2005:252). This involves the researcher discussing the research process and her findings with colleagues who have experience in similar field (Krefting, 1991:219). The researcher sought a "scholar familiar with the interview themes and with theories applied to the interview texts" (Kvale, 2007:125). The supervisors were also involved in the examination of the research findings, the researcher's interpretations, as well as recommendations thereof.

4.2 Transferability

According to Morrow (2005:252) transferability 'refers to the extent to which the reader is able to generalise the findings of the study to his or her context'. This involves the extent to which the applicability of one set of findings to another context (De Vos, 2012:420). Since qualitative data cannot be generalised as a result of a small sample size, it was critical for the researcher to state in the presentation of the findings that the findings could not be generalised to other populations. The researcher also provided sufficient information regarding the research context, processes, as well as the description of participants' experiences to enable the reader to decide how the findings could be transferred (Morrow, 2005:252). This included the evaluation of HRM practices at the participants' institutions. The supervisors were also involved in the examination of the research findings, the researcher's interpretations, as well as recommendations thereof.

4.3 Dependability

The researcher must produce dependable research findings, and the research studies must be analysed in relation to the procedures used to produce these findings. They must ensure that even if the study was repeated in a similar context with the same participants, they should produce similar results, and the measurement error would be reduced (Brink *et al.,* 2006:118; Graneheim & Lundman, 2004). A good qualitative researcher achieves dependability and validity of his study by going back and forth between design and implementation to make sure that his/her questions formulation, literature, recruitment, data collection strategies and analysis are consistent Morse *et al.* (2002:10). The researcher described the exact data gathering methods, analysis, and interpretation in qualitative research (Krefting, 1991:221). The researcher's supervisors were responsible for the examination of the exact methods of data gathering, analysis and interpretation to prove that they are supported by the data, in order to establish dependability.

4.4 Confirmability

Confirmation of the findings by another removes evaluation from the existing characteristics of the researcher's objectivity, and place it on the data (De Vos, 2012:421). According to (Krefting, 1991:221), confirmability involves an external auditor attempting to follow through the natural progression of events in a project to try to understand how and why decisions were made. Lincoln and Guba (1985) provide six audit criteria that could be included in the audit:

- The raw data: field notes, audio and video recordings.
- Data reduction and analysis products: quantitative summaries, condensed notes and working hypotheses.
- Data reconstruction and synthesis products: thematic categories, interpretations and inferences.
- Process notes: procedures and design strategies, trustworthiness notes.
- Material related to intentions and dispositions: study proposal and field journal; and
- Instrument development information: pilot forms, survey format and schedules.

To ensure confirmability the researcher used the following auditing criteria:

- Gathered raw data from audio recordings.
- Analysed the raw data and findings of the study
- Synthesised the analysed data.
- Each phase of the process, research design, sampling and data gathering process was carefully planned.
- The research findings, interpretations and conclusions were checked to ensure that they were supported by the analysed data.
- The supervisors confirmed themes and categories, as well as interpretations by the researcher.
- Multiple methods were used as data source: interviews, an HR assessment questionnaire, country-wide surveys and documentation (HR policies downloaded from both institutions' websites).

5. ETHICAL CONSIDERATIONS.

Tharenou *et al.* (2007:317) assert that the researcher must ensure that ethical procedures are adhered to before undertaking the research project. DiCicco-Bloom and Crabtree (2006) provide a number of ethical issues that need to be considered when conducting an interview as follows:

- Minimising the risk of unexpected harm to the interviewee.
- Guarding the information received from interviewee.
- Ensuring that interviewees are appropriately informed of the nature of the study.
- Minimising the danger of misusing the interviewees.

Welman *et al*. (2007:201) mention four ethical considerations that a researcher needs to pay attention to:

5.1 Informed consent.

The researcher must ensure that the required permission is sought from the participants once they have been informed of the aim of the investigation.

5.2 Right to privacy.

The researcher must assure the participants that their identities will be kept anonymous.

5.3 Protection from harm.

The researcher must provide the participants with an assurance that no physical or emotional harm will be caused to them.

5.4 Involvement of the researcher.

The researcher should ensure that he/she does not exploit the participants. He/she must treat them as human beings.

Singh (2006:220) points that a few factors that need to be considered when collecting data:

- The researcher must ensure that the dignity and welfare of the participants is safeguarded.
- The participants should be afforded the freedom to refuse to participate in the study. They should also be assured that the privacy of information gathered during the study is upheld.
- The researcher must ensure that the privacy of the participants is safeguarded.
- The researcher is responsible for upholding moral standards.

Denzin and Lincoln (2005) indicate that:

> …under the principle of beneficence, researchers are enjoined to secure the well-being of their subjects. Beneficent actions are understood in a double sense as avoiding harm altogether and, if risks are involved for achieving substantial benefits, minimising as much as possible.

Marshall and Rossman (2010) maintain that the researcher should make sure that participants are not harmed by participating in the study. It is also imperative that

interviews do not utilise deceitful means of promoting something to the participants (Gray 2004:235).

The researcher ensured that the participants were not coerced to participate in the study. She also sought ethics clearance from North West University, which was an institution at which she was registered, before asking for ethical approval from the two institutions under the study. The researcher completed the ethics application forms from these institutions, which were accompanied by her Ethical Approval letter it her institution of registration. The participants were also informed of the nature of the study and were assured that their names, nor the institutions at which the study was conducted, would not be mentioned in this study.

6. LIMITATIONS OF THE STUDY.

Since this study involves an evaluation of HR practices, it is worth noting that the word “evaluation” would not be taken lightly by HR managers or HRM departmental staff members (Perry & Kulik, 2008; Soltani, 2003; Teo *et al*., 2003). There is a likelihood that they might view ‘evaluation of HRM function’ negatively, and not as a way of controlling and quantifying results, as well as implementing a broader viewpoint that will assist in identifying future accomplishments in the area of human resource management (Olalla & Castillo, 2002). Instead, it may be perceived as a means to expose their defects. Warech and Tracey (2004) pointed out that many HR professionals suffer from an “insecurity complex”. Although some departments within the two institutions might feel that this study is necessary, HR managers might not welcome this research study being conducted, since they might view it as a means of exposing their defects. Qualitative studies are also exploratory in nature, the results cannot be generalised to the studied populations due to the small/unrepresentative samples.

7. SUMMARY.

The samples for the purposes of the study were drawn from two tertiary institutions. As the nature of the study was qualitative, the researcher used purpose sampling since she had pre-identified a category of people to be interviewed (Trochim, 2006).

The researcher made use of a relatively small sample because, unlike quantitative sampling which needs to have a sufficient sample size to illustrate statistical inferences with required accuracy, she was not concerned with statements regarding occurrences and frequencies, and as such, there was no need to ensure that the sample was of adequate degree to produce approximation or to establish statistically noteworthy biased variables (Ritchie & Lewis 2003). The researcher described epistemology and ontology in relation to this study. The data gathering methods, such as interviewing participants, were extensively discussed with their advantages and disadvantages. The researcher also provided reasons why ethical considerations were significant to the study and the limitations to the study. Since the study was qualitative in nature, strategies for increasing its trustworthiness namely, credibility, transferability, dependability and confirmability were described in detail.

In Chapter 5 the collected data is presented, analysed and interpreted.

CHAPTER 5
PRESENTATION, ANALYSIS AND INTERPRETATION OF THE COLLECTED DATA.

1. INTRODUCTION.

The purpose of this chapter is to present, analyse and interpret the data collected on '*an evaluation of HRM functions at two tertiary institutions in the Western Cape*', as relating to the research questions presented in Chapter One. The responses from the returned HR questionnaires are presented together with responses from the interviews. The use of the questionnaire is not intended as a fully-fledged survey since the sample is too small. The aim is to try out the questionnaire in order to see if it works in practice, and whether it needs further fine-tuning. At best, the results of this pilot study on the questionnaire provide an indication of how well the questionnaire succeeds in evaluating how the HRM functions are managed, and whether any improvements are called for.

2. HRM EVALUATION QUESTIONNAIRE RESULTS OF INSTITUTION A.

2.1 Introduction.

This section presents the responses from participants taken from the HR questionnaires they have completed prior to the interviews with regard to recruitment, selection, performance management, training and development and industrial relations functions. All those who completed the HRM evaluation questionnaire were HR personnel, with the inclusion of the Executive HRM Director, as well as the Senior HR practitioners. The reason for their inclusion in the completion of the questionnaire was that they had first-hand knowledge of the HRM functions, and these formed part of their key performance areas. Another category that was involved in the completion of the questionnaire was the HRM department's key internal clients, who were not directly involved in the execution of the said functions. The reason for their inclusion was that they were on the receiving end of the service provided by HRM department, and were in a better position to assess the service, since they dealt with the HRM

department on a daily basis, and could tell whether the level of service delivery was satisfactory or not, meaning that they were better judges of the HR performance. The Deputy Vice-Chancellors, as well as the Dean did not complete the questionnaire since they were not directly involved in the execution of the HRM functions. Since qualitative researchers may choose the neutral stance to an active participatory role, depending on the selected research approach (McMillan & Schumacher, 2006:317) the researcher chose to be an active participant and completed the HRM Assessment Questionnaire. The reason for this was to present her views based on her observation of the reactions and responses of the respondents, and also to compare her ratings with those of the HR staff and other staff members within the institution, who are the key internal clients of the HRM department.

2.2 Responses from the HR Staff of Institution A.

This section presents the number and categories of the respondents who completed the questionnaire. Table 5.1 shows their number and categories.

Table 5.1: Job categories of respondents'.

JOB TITLE	**INSTITUTION A**
Human Resource Executive Director.	1
Human Resource Manager/Senior HR Practitioners.	3
Subject Librarian.	1
Heads of Department.	2
Postgraduate Funding Administrator.	1
The Researcher.	1
TOTAL	**9**

2.3 The individuals who completed the questionnaire.

This section of the questionnaire was completed by:

i. The HRM Executive Director.

ii. The Senior HRM Practitioners

iii. Subject Librarian.

iv. Head of the Department (Archaeology).

v. Postgraduate Funding Administrator.

vi. Head of the Department (Civil Engineering).

vii The Researcher'

2.2 Ratings on the Recruitment Function.

This section presents Table 5.2 with the ratings of HR personnel, HR clients and the researcher on the recruitment function.

Table 5.2: Ratings of the nine respondents on the statements of the HRM questionnaire (Recruitment).

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	I	Ii	iii	Iv	**MEAN**	i	ii	iii	vi	**MEAN**	**ix**
1. A written recruitment policy is in place.	10	10	10	10	**10**	9	9	8	5	**7,8**	**10**
2. There are proper recruitment processes and procedures in place.	10	10	10	10	**10**	9	9	8	7	**8,2**	**10**
2. Recruitment staff adhere to the policy.	10	10	10	10	**10**	6	8	10	7	**7,7**	**0**

Table 5.2: Ratings of the nine respondents on the statements of the HRM questionnaire (Recruitment) cont'd.

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	I	ii	iii	Iv	**MEAN**	i	ii	iii	vi	**MEAN**	**Ix**
3. The recruitment policy has been communicated to all stakeholders.	10	10	10	10	**10**	9	8	7	4	**7**	**0**
4. The recruitment function is evaluated annually.	7,5	5	10	7,5	**7,5**	3	8	7	5	**5,7**	**0**
5. The recruitment policy is reviewed annually.	7,5	10	10	7,5	**8,7**	3	9	8	5	**6,2**	**0**
6. Appropriate media are used for recruitment.	10	10	10	10	**10**	8	7	10	6	**7,7**	**10**
8.All stakeholders are consulted in the formulation and amendment to policy.	10	10	10	10	**10**	2	6	7	5	**5**	**0**
9.The policy is implemented in compliance with the labour legislation.	10	10	10	10	**10**	9	9	8	7	**8,2**	**0**
TOTAL (90 MAXIMUM)	85	85	90	85	86,2	58	73	73	51	**63.4**	**30**
EFFECTIVENESS OF THE FUNCTION % (x/90)	**94,4**	**94,4**	**100**	**94,4**	**95,7**	**64,4**	**81,1**	**81,1**	**56,6**	**70,4**	**33,3**

2.5 Analysis and Interpretation (Table 5.2).

Recruitment Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of the statements 1, 2 and 7, with a mean rating of 10, excluding statements 3 to 6, 8 and 9. The reason she is in agreement is because the respondents had indicated, at some point during the interview, that their policies were available on the institution's website, and the researcher was able to visit the site and download them. The policy also entailed the processes and procedures for recruitment, and that the institution was using the appropriate media for recruitment, such as the institution's website, community newspapers and national newspapers.

Statements 3, 4, 8 and 9 were given a mean rating of 10 respectively by the respondents, while the researcher gave the same statements a rating of 0 each. The reason that the researcher gave a lower rating was because the respondents could not produce any evidence to show that the staff adhered to the policy, nor that it was communicated to all stakeholders, or was annually reviewed, or that they were consulted when it was formulated, or that it was implemented in compliance with the labour legislation. However, when comparing the respondents' mean ratings to the HR clients' mean ratings, ranging from 5 to 8,2, the clients' ratings were relatively lower than the respondents' ratings, meaning that they were not satisfied with HR's level of service delivery.

Statement 5 was given a mean rating of 7,5 by the respondents, while the researcher rated it 0. This was because the respondents had indicated, at some point in their interview, that the function was never evaluated. It is thus doubtful that the different statements have been rated objectively, and according to the criteria of "best practice". The recruitment function, as a whole, carries a weighting of 90 as indicated in the table (nine statements times a maximum rating of 10).

The overall effectiveness of the function is extremely high, ranging from 94,4%-100% (according to HR personnel), whereas the HR clients' overall effectiveness ranges between 56,6% and 81,1%. This is lower than the respondents' ratings. The researcher's overall effectiveness of 33,3% is also comparatively lower than the respondents' ratings. There is a possibility that HR might have overstated the effectiveness of this function because they were trying to protect themselves by covering up the poor performance. Also, in most cases, self-evaluation is usually subjective (Gramzow *et al.,* 2003).

2.6. Ratings on the Selection Function.

This section presents the ratings of HR personnel, HR clients and the researcher on the selection function. This is depicted in Table 5.3.

TABLE 5.3: Ratings of the nine respondents on the statements of the HRM questionnaire (Selection).

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	iii	Iv	**MEAN**	i	ii	iii	iv	**MEAN**	**ix**
1. A written selection policy is in place.	10	10	7,5	10	**9,4**	9	9	10	5	**8,2**	**10**
2. The selection staff members adhere to the selection policy.	10	10	10	10	**10**	9	8	10	6	**8,2**	**0**
3. All legal requirements met.	10	10	10	10	**10**	7	7	10	6	**7,5**	**0**
4. Interviewers ask questions that are legal.	7,5	10	7,5	10	**8,8**	9	9	10	6	**8,5**	**0**
5. Interviewers ask questions that elicit information which is behaviourally-based.	7,5	10	10	10	**9,4**	7	9	10	7	**8,2**	**0**

Table 5.3: Ratings of the nine respondents on the statements of the HRM questionnaire (Selection) cont'd.

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	l	ii	lii	iv	**MEAN**	i	ii	iii	iv	.**MEAN** .	**ix**
6. Adequate testing is done before extending an offer to ensure that the person has the appropriate skills, knowledge and style to be successful in the position.	10	10	7,5	10	**9,4**	8	6	10	7	**7,7**	**0**
7. Background checking is done before extending an offer to ensure that the person has given accurate information.	10	10	10	10	**10**	8	8	10	7	**8,2**	**0**
8.There is a clear process in place for notification of candidates.	10	10	10	10	**10**	9	7	10	7	**8,2**	**0**
9.The selection policy is reviewed annually.	10	10	10	7,5	**9,4**	8	8	8	5	**7,2**	**0**
10The selection process is evaluated annually.	10	10	10	7,5	**9,4**	8	8	8	5	**7,2**	**0**
11.All stakeholders are consulted in the formulation and amendment of the selection policy.	10	10	10	10	**10**	8	8	8	5	**7,2**	**0**
12.There is consistency between policies.	7,5	10	10	10	**9,4**	6	9	10	5	**7,5**	**0**
13.There is consistency between practices.	7,5	10	10	10	**9,4**	5	9	10	5	**7,2**	**0**
TOTAL (130 MAXIMUM)	**120**	**130**	**122,5**	**125**	**124,6**	**101**	**105**	**124**	**76**	**101**	**10**
EFFECTIVENESS OF THE FUNCTION (x/130)%	**92,3**	**100**	**94,2**	**96,1**	**95,8**	**77,6**	**81,5**	**93,3**	**58,4**	**77,6**	**7,6**

2.7 Analysis and Interpretation (Table 5.3).

Selection Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of statement 1, but not in agreement on statements 2 to 13. This was because she downloaded the policy from the institution's website. The respondents gave these statements a mean rating ranging from 8,8 to 10, while the researcher gave 0 ratings. The researcher provided relatively low ratings since the interview findings revealed that the function had not had an evaluation, meaning that the evaluation of the selection function was not carried out. An additional reason was the lack of evidence in support of the respondents' claim to show that they had actually executed some of these functions. The internal clients of HR gave mean ratings ranging between 7,2 and 8,5, which were also lower than HR's mean ratings. This could mean that the HR staff did not reach their clients' expected level of performance.

The selection function carries a weighting of 130, as indicated in the table (13 statements times a maximum rating of 10). Different functions, however, will not carry equal weighting. For instance, the recruitment function carries a weighting of 90, while the selection function carries a weighting of 130. The reason for this is that it includes more key performance areas than recruitment.

The respondents' overall rating of effectiveness of the function is extremely high, ranging from 92,3%-100%, whereas the customers' overall rating of effectiveness of the function ranged between 56,6% and 81,1%. This is relatively lower than HR's overall rating of effectiveness of the function, while the researcher's overall rating of effectiveness of the selection function is comparatively as low as 7,6%. This shows that there is a tremendous discrepancy between HR's overall ratings, their clients' ratings and the researcher's overall effectiveness rating of the function. This could mean that it is doubtful that various statements have been rated accurately.

2.8. Ratings on the Performance Management Function.

The ratings of the HR personnel, the HR clients and the researcher are presented in this section. Table 5.4 presents their ratings on the performance management function.

TABLE 5.4: Ratings of the nine respondents on the statements of the HRM questionnaire (Performance Management).

TATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	iii	Iv	**MEAN**	i	ii	vii	iv	**MEAN**	**ix**
1. A written performance management policy is in place.	10	10	10	10	**10**	8	10	10	7	**8,7**	**10**
2. There is a performance management system in place.	10	10	10	10	**10**	8	10	10	7	**8,7**	**10**
3. The process of employee performance evaluation is in place.	10	10	10	10	**10**	8	10	10	5	**8,2**	**10**
4. There are proper performance management processes and procedures in place.	10	10	10	10	**10**	6	10	10	7	**8,2**	**10**
5. Copies of job descriptions are in each personnel file.	5	5	7,5	10	**6,9**	9	10	10	5	**8,5**	**0**
6. Copies of performance improvement plans are in each personnel file.	5	10	7,5	10	**8,1**	6	10	10	5	**7,7**	**0**
7.The performance management policy is communicated to all stakeholders.	10	10	10	10	**10**	7	9	10	5	**7,7**	**0**
8. The policy is implemented in compliance with the legislation.	10	10	7,5	10	**9,4**	6	8	10	7	**7,7**	**0**
9.The performance management system is evaluated annually.	10	10	10	10	**10**	8	8	10	5	**7,7**	**0**

Table 5.4: Ratings of the nine respondents on the statements of the HRM questionnaire (Performance Management) cont'd.

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	Iii	Iv	MEAN	i	ii	Vii	iv	MEAN	Ix
10.The performance management policy is reviewed regularly.	10	10	10	10	**10**	7	9	10	5	**7,7**	**0**
11.Employee performance review is done quarterly.	0	10	7,5	5	**5,6**	9	9	10	2	**7,5**	**0**
12.Performance is tied to compensation.	10	10	10	0	**7,5**	6	9	10	6	**7,7**	**0**
13.Managers are involved in setting realistic performance objectives for employees that encourage continuous improvement.	7,5	10	10	10	**9,4**	7	9	10	5	**7,7**	**0**
14.Managers are involved in identifying knowledge, skills and behaviours needed by employees to achieve the necessary performance standards.	7,5	10	10	10	**9,4**	9	9	10	5	**8,2**	**0**
TOTAL (140 MAXIMUM)	**115**	**135**	**130**	**125**	**126,3**	**104**	**130**	**140**	**76**	**111,9**	**40**
EFFECTIVENESS OF PERFORMANCE MANAGEMENT (X/140).	**82,4**	**96,4**	**92,8**	**89,2**	**90,2**	**74,2**	**92,8**	**100**	**54,2**	**79,9**	**28,5**

2.9 Analysis and Interpretation (Table 5.4).

Performance Management Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of the statements 1 to 4, which were given a mean rating of 10 by the respondents as well as the researcher. The reason for this was because the performance management policy was available for anyone to view on the website, which confirms its existence. There was also a performance management system in place, and the process of employee performance evaluation is contained in the policy.

The researcher could not agree with statements 5 to 14, which were provided a mean rating ranging from 5,6 to 10 by the respondents, while she rated them 0. This was because there was no documentary proof that these functions were carried out, and because the interview findings had indicated that they did not evaluate the function. Statement 11 had a mean rating of 5,6 by the respondents, and this is a low rating compared to the ratings they provided for the rest of the statements in this function. This could mean that they were uncertain or they were simply covering up. However, when comparing the respondents' mean ratings to their clients' mean ratings, the clients' ratings ranged between 7,5 and 8,7. Although these ratings are slightly lower than the HR staff's mean ratings, they are still high. This could mean that most of these statements were subjectively rated by their clients.

The performance management function carries a weighting of 140, as indicated in the table (14 statements times a maximum rating of 10). This function carries more weight than the selection and recruitment functions.

The overall effectiveness of the performance management function is rated highly, ranging from 82,4%-96,4%, while the clients' overall effectiveness rating ranges between 54,2% and 92,8%, which is also high. The researcher's overall rating of effectiveness of the performance management function is 28,5%. According to the researcher's point of view and based on the interview findings and evidence that was not provided, this function's overall effectiveness is not at an acceptable level of per-

formance. This is because there was no indication of proof that copies of job descriptions and performance improvement plans were contained in the employee files, nor that the policy was communicated to all stakeholders, or that the function was actually evaluated, or that managers were involved in the setting of realistic performance objectives for employees. The effectiveness of this function will ensure that the application and maintenance problems are speedily recognised and efficiently resolved (Poister *et. al.,* 2014:47,48).

2.10 Ratings on the Compensation and Benefits Function.

This section presents the ratings by HR personnel, HR clients and the researcher on the compensation and benefits functions. These are depicted in Table 5.5.

TABLE 5.5: Ratings of the nine respondents on the statements of the HRM questionnaire (Compensation and Benefits).

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	I	ii	Iii	iv	**MEAN**	I	ii	Iii	iv	**MEAN**	**Ix**
1. A written compensation and benefits policy is in place.	10	10	10	10	**10**	9	10	10	5	**8,5**	**10**
2. The compensation policy is communicated to all stakeholders.	10	10	10	10	**10**	5	8	10	5	**7**	**0**
3. Local markets evaluation is done annually to ensure external equity.	10	10	10	10	**10**	9	7	10	5	**7,7**	**0**
4. Compensation levels are monitored and reviewed.	10	10	10	10	**10**	9	8	10	5	**8**	**0**
5. There is a formal pay structure.	10	10	10	10	**10**	4	9	10	7	**7,5**	**10**
6. The compensation plan is communicated to all stakeholders.	10	10	10	10	**10**	4	9	10	5	**7**	**10**
7. Employees are informed about their benefits.	10	10	10	10	**10**	8	10	10	7	**8,7**	**10**
8. Compensation systems and processes are evaluated regularly.	10	10	7,5	10	**9,4**	8	10	10	5	**8,2**	**0**
9. The compensation policy is evaluated annually.	10	10	0	10	**7,5**	7	8	10	5	**7,5**	**0**
10. All stakeholders are consulted in the formulation and amendment to policy.	10	10	10	10	**10**	4	10	10	5	**7,2**	**0**
11. The processes are consistently followed.	7,5	7,5	10	10	**8,8**	5	8	10	5	**7**	**0**
12. Employers cannot make deductions from the employees' salaries without their approval.	10	10	10	10	**10**	9	10	10	7	**9**	**10**

Table 5.5: Ratings of the nine respondents on the statements of the HRM questionnaire (Compensation and Benefits) cont'd.

STATEMENT	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	Iii	iv	**MEAN**	I	ii	Iii	iv	**MEAN**	**Ix**
13.Stakeholders are consulted in formulation and amendments to the policy.	10	10	10	10	**10**	4	10	10	5	**7,2**	**0**
14.Compensation staff members adhere to the compensation policy.	10	10	10	10	**10**	5	10	10	5	**7,5**	**0**
TOTAL (140 MAXIMUM)	**137,5**	**137,5**	**127,5**	**140**	**135,7**	**90**	**127**	**140**	**76**	**108**	**50**
EFFECTIVENESS OF THE FUNCTION (x/140)%	**98,2**	**98,2**	**91**	**100**	**96,9**	**64,2**	**90.7**	**100**	**54,2**	**77**	**35.7**

2.11 Analysis and Interpretation (Table 5.5).

Compensation and Benefits Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of the statements 1, 5 and 7. This is because the policy was available on the institution's web-site. She also received a copy of the institution's pay structure from one of the respondents, as well as a copy of a letter of em-ployment offer with the benefits included.

However, statements 2 to 4, 6, and 8 to 14 were provided with mean ratings ranging between 7,5 and 10 by the respondents, while the researcher gave them a 0 rating This was because HR could not produce any proof to substantiate their claim.
The interview findings also revealed that the compensation function was not evaluated. This means that these functions were not carried out. There is a possibility that these statements were rated subjectively. However, when comparing the respondents' mean ratings to their internal clients' mean ratings, which range from 7,2 to 9, they are almost as high as the respondents' ratings, and since there was no evidence to validate these ratings, there is a possibility that their clients also rated these statements subjectively.

The compensation function carries a weighting of 140 as indicated in the table (14 statements times a maximum rating of 10). This function also carries a similar weighting to the performance management function.

The respondents' overall effectiveness rating of the function is high, ranging from 91%-100%, and their clients' overall effectiveness rating ranges between 54,2% and 100%, while the researcher's overall effectiveness rating is as low as 21.4%. HR staff could have embellished their ratings for the function to have a high effectiveness.

2.12 Ratings on the Training and Development Function.

This section presents the HR personnel, HR clients as well as the researcher's ratings on the training and development function and Table 5.6 presents these ratings.

TABLE 5.6: Ratings of the nine respondents on the statements of the HRM questionnaire (Training and Development).

STATEMENTS	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	Ii	Iii	vi	**MEAN**	i	ii	iii	iv	**MEAN**	**Ix**
1. A written training and development policy is in place.	10	5	10	10	**8,8**	9	10	10	7	**9**	**10**
2. A training and development system is in place.	10	7,5	10	10	**9,4**	9	8	10	7	**8,5**	**10**
3. There are proper training processes and procedures in place.	10	7,5	10	10	**9,4**	7	7	10	7	**7,7**	**10**
4. There are staff development programmes in place.	10	7,5	10	10	**9,4**	8	7	10	7	**8**	**10**
5. The training and development function is regularly evaluated.	10	7,5	10	10	**9,4**	6	7	10	5	**7**	**0**
6. Employee orientation is conducted.	10	7,5	10	10	**9,4**	9	8	10	5	**8**	**0**
7. The same training processes are used for different levels of positions.	0	7,5	0	7,5	**3,4**	6	7	10	5	**7**	**0**
8. The policy is communicated to all stakeholders.	10	7,5	10	10	**9,4**	4	8	10	5	**6,7**	**0**
9. All training is job-related.	10	5	10	10	**8,8**	3	8	7	7	**6,2**	**0**
10. Stakeholders are consulted in the formulation and amendments to the policy.	10	10	10	10	**10**	4	8	7	5	**6**	**0**
11. The training and development policy is reviewed regularly.	10	7,5	10	10	**9,4**	3	7	7	5	**5,5**	**0**

Table 5.6: Ratings of the nine respondents on the statements of the HRM questionnaire (Training and Development) cont'd.

STATEMENTS	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	Iii	Iv	**MEAN**	i	ii	iii	Iv	**MEAN**	**Ix**
12. The policy is implemented in compliance with the labour legislation.	10	10	10	10	**10**	3	7	10	5	**6,5**	**0**
13. The train ing programmes are designed in accordance with employee needs.	10	7,5	7,5	10	**8,8**	3	8	7	5	**5,7**	**0**
TOTAL (130 MAXIMUM)	**120**	**98**	**118**	**128**	**116**	**74**	**100**	**118**	**75**	**91,8**	**40**
EFFECTIVENESS OF THE FUNCTION (x/130)%.	**92,3**	**75,3**	**90,7**	**98,4**	**89,2**	**56.9**	**76.9**	**90,7**	**57,6**	**70,6**	**30,7**

2.13 Analysis and Interpretation (Table 5.6).

Training and Development Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents' mean ratings of statements 1 to 4. Although their mean ratings ranged between 8,8 and 9,4, she gave a rating of 10 for these statements. Her reason for providing this high rating was because she downloaded the learning and development policy as well as the learning and development guide from the institution's website, which contained learning and development processes and procedures, staff development programmes and the dates thereof. This also proved that there was a training and development system in place.

However, she did not agree with statements 5 to 13, which were given mean ratings ranging from 3,4 to 10 by the respondents, while she gave them a 0 rating, as there was no documentary evidence to indicate that all these statements were carried out to an exceptional level. Another reason was that not all training was job-related. According to the institution's learning and development guide, the institution provides job-related, developmental as well as personal training, meaning that training differs and not all of it is job-related. The respondents had also indicated, at some point in the interview, that the training and development function was not evaluated. It is therefore likely that various statements were given a subjective rating. Statement 7 was given a mean rating of 3,4 by the respondents, and this is relatively low compared to the ratings they had given to the rest of the statements in this function. This could mean that they were trying to cover up the poor performance. HR's internal clients' mean ratings range from 5,5 to 9, and although these ratings look high, they are still lower than the respondents' ratings.

The training and development function carries a weighting of 130 as indicated in the table (13 statements times a maximum rating of 10). This function carries the same weighting as the selection function.

The overall effectiveness rating of the training and development function is high, ranging from 75,3%-98,4% by the respondents, while their clients' overall effectiveness rating of the function ranges between 56,9% and 90,7%, and the researcher's overall effectiveness rating is as low as 30,7%. This means that this function's overall effectiveness rating is very low and needs to be improved.

2.14 Ratings on the Industrial Relations Function.

This section presents the HR personnel, HR clients and the researcher's ratings. They are presented in Table 5.7.

TABLE 5.7: Ratings of the nine respondents on the statements of the HRM questionnaire (Industrial Relations)

STATEMENTS	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	iii	iv	**MEAN**	I	ii	iii	iv	**MEAN**	**Ix**
1. There is an industrial relations policy in place.	10	10	10	10	**10**	8	7	10	7	**8**	**10**
2. The policy is covering all types of misconduct and the disciplinary procedures thereof.	10	10	10	10	**10**	8	10	10	7	**8,7**	**10**
3. The industrial relations function is evaluated regularly.	10	5	10	10	**8,8**	7	8	10	5	**7,5**	**0**
4. There are grievance procedures in place.	10	10	10	10	**10**	9	6	10	5	**7,5**	**10**
5. There are unions representatives in place.	10	10	10	10	**10**	9	10	10	5	**8,5**	**10**
6. Workplace forums function to the best of their ability.	0	0	0	0	**0**	5	10	10	5	**7,5**	**0**
7. There is a low rate of grievances handled in the institution.	10	7,5	7,5	10	**8,8**	9	6	10	5	**7,5**	**0**
8. There is a follow-up evaluation process in place after disciplinary action.	10	7,5	7,5	10	**8,8**	4	8	10	5	**6,7**	**0**
9. There are collective agreements with unions in place.	10	10	10	10	**10**	9	7	10	7	**8,2**	**10**
10. Grievance procedures are handled in a fair and consistent manner.	10	10	10	10	**10**	7	8	10	5	**7,5**	**0**

Table 5.7: Ratings of the nine respondents on the statements of the HRM questionnaire (Industrial Relations) cont'd.

STATEMENTS	HUMAN RESOURCE STAFF					HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	iii	iv	**MEAN**	i	ii	iii	iv	**MEAN**	**ix**
11. Grievance procedures are communicated to stakeholders.	10	10	10	10	**10**	7	8	10	5	**7,5**	**0**
12. Disciplinary actions are communicated to employees.	10	10	10	10	**10**	7	10	10	5	**8**	**0**
13. Disciplinary actions are conducted in a fair and consistent manner.	10	10	10	10	**10**	7	10	10	5	**8**	**0**
14. Harassment is covered in the policy.	10	10	10	10	**10**	9	10	10	8	**9,2**	**10**
15. The policy covers violent actions.	10	10	10	10	**10**	9	10	10	5	**8,5**	**10**
16. Progressive discipline is covered in the policy.	10	10	10	10	**10**	8	10	10	5	**8,2**	**10**
17. The policy covers labour regulations	10	10	10	10	**10**	9	10	10	7	**9**	**10**
18. The policy covers leave etc.	10	10	10	10	**10**	9	10	10	7	**9**	**10**
19. Stakeholders are consulted in the formulation and amendments to policy.	10	10	10	10	**10**	4	9	10	5	**7**	**0**
20. The industrial relations policy is reviewed regularly.	10	7,5	10	10	**9,4**	5	8	10	5	**7**	**0**
TOTAL (200 MAXIMUM)	**190**	**178**	**185**	**190**	**185,8**	**149**	**189**	**200**	**113**	**159**	**100**
EFFECTIVENESS OF THE FUNCTION (x/200)%.	**95**	**89**	**92,5**	**95**	**92,9**	**74,5**	**95,5**	**100**	**56,5**	**79,5**	**50**

2.15 Analysis and Interpretation (Table 5.7).

Industrial Relations Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the mean ratings of statements 1, 2, 4, 5, 9 and 14 to 19, which were given a mean rating of 10 by each of the respondents. The researcher gave them each the same rating because there was an existing employee relations policy that consisted of all the types of misconducts, disciplinary and grievance procedures mentioned in these statements. There was also union representation and collective agreements in place.

However, regarding statements 3, 6 to 8, 10 to 13 and 20, in which the respondents' mean ratings ranged between 8,8 and 10, the researcher gave them a 0 rating. The reason she could not agree with these statements was because the respondents did not produce any tangible proof that the functions stated in these statements were actually carried out, neither did they provide any statistics to prove that there was a low rate of grievances or that grievance and disciplinary procedures were communicated to stakeholders. Another reason was that they had indicated, at some point in the interview, that this function was not evaluated, although they had indicated on the questionnaire, by giving a mean rating of 8,8, that it was. This shows that there is a discrepancy between the information provided by the respondents during interviews and what they indicated on the questionnaire. There is a possibility that these statements were rated subjectively. The HR clients gave mean ratings ranging from 6,7 to 9,2. These ratings are also high and, like with the HR staff ratings, they could not be verified with written evidence.

The industrial relations function carries a weighting of 200 as indicated in the table (20 statements times a maximum rating of 10). This function carries such a high rating because it entails more key performance areas compared to the other functions. It is also combined with the human resource management functions. The accomplishment of a healthy industrial relationship within an organisation mostly depends on the manner in which the total HRM function is executed (Bendix, 2006: 302).

The respondents' overall rating of effectiveness of this function is high, ranging from 89%-95%, similar to their clients' rating, which ranges between 56,5% and 100%. However, the researcher's overall effectiveness rating is as low as 55%, showing that it is not yet at the required level of effectiveness. It really needs improvement since this function is combined with the human resource function, and carries additional key performance areas compared to other HRM functions.

2.16 Summary of the Results from the Questionnaire for Institution A.

This section presents a summary of the results for the six HRM functions under study, as well as the overall rating for the HRM function of Institution A. Table 5.8 presents the ratings.

TABLE 5.8: Ratings by HR Staff, Clients and the Researcher.

INSTITUTION A – Effectiveness of the HRM Function.

HUMAN RESOURCE MANAGEMENT FUNCTION	WEIGHT	HR STAFF		END USER OF HR SERVICES		RESEARCHER	
		MEAN RATING	FUNCTION'S EFFECTIVENESS %	MEAN RATING	FUNCTION'S EFFECTIVENESS %	RATING	FUNCTION'S EFFECTIVENESS %
Recruitment	90	86,2	95,7	63,4	70,4	30	33,3
Selection	130	122,6	95,8	101	77,6	10	7,6
Performance Management System	140	126,3	90,2	111,9	70,9	40	28,5
Compensation and Benefits	140	135,7	96,9	108	77	30	21,4
Training and Development	130	116	89,2	91,8	70,6	40	30,7
Industrial Relations	200	185,8	92,9	159	79,5	110	55
TOTAL (/6)	**830**	**772,6**	**560,7**	**635**	**446**	**260**	**176,5**
HRM function as a whole (mean)	**138,3**	**128,7**	**93,4**	**105,8**	**74,3**	**43,3**	**29,4**
The effectiveness of HRM function (Total/830)%		**93%**		**76,5%**		**31,3%**	

2.17 Analysis and Interpretation (Table 5.8).

2.17.1 Recruitment Function.

The recruitment function received a mean rating of 86,2 and an overall effectiveness rating of 95,7% by the respondents. This rating is high when compared to the HR clients' mean rating of 63,4 and the recruitment's overall effectiveness rating of 70,4%. The researcher's rating of 30 and the function's overall effectiveness rating of 33,3% is almost three times lower than the respondents' ratings, and twice as low as the HR clients' ratings. This shows that the respondents are very optimistic about the effectiveness of their HRM function, but could not produce any documentary proof to substantiate their statement. This function, as a whole, carries a weighting of 90.

2.17.2 Selection Function.

The selection function was given a mean rating of 122,6 by the respondents and an overall effectiveness rating of 95,8%, while their clients gave a mean rating of 101 and an overall effectiveness rating of 77,6% which is still slightly lower than the respondents' ratings. The researcher gave a much lower rating of 10 and an overall effectiveness rating of 7,6%, compared to the respondents' ratings and the clients' ratings, since she was not provided with any evidence to validate their claim. The selection function, as a whole, carries a weighting of 130.

2.17.3 Performance Management Function.

The respondents provided a mean rating of 126,3 and an overall effectiveness rating of the performance management function as 90,2%, while their clients gave a mean rating of 111,9 and an overall effectiveness rating of 70,9%, which is slightly lower than the respondents' ratings. The researcher gave a comparatively low rating of 40 and an overall effectiveness rating of 28,5% because she needed documentary proof to confirm

that this function was carried out to a satisfactory level. The performance management function, as a whole, carries a weighting of 140.

2.17.4 Compensation and Benefits Function.

With regard to the compensation and benefits function, the respondents gave a mean rating of 135,7 and an overall effectiveness rating of 96,9%, while their clients gave a mean rating of 108 and an overall effectiveness rating of 77%. This is a bit lower than the respondents' ratings. The researcher's rating was as low as 30 and the overall effectiveness rating of this function was 21,4% because the respondents could not back up their statements. This function, as a whole, carries a weighting of 140.

2.17.5 Training and Development Function.

Regarding the training and development function, the respondents gave a mean rating of 116 and an overall effectiveness rating of 89,2% while the clients' mean rating was 91,8 with an overall effectiveness rating of 70,6%, which is somewhat lower than the respondents' ratings. The researcher, however, gave a comparative rating of 40 and an overall effectiveness rating of 30,7%. This is much lower than the respondents' ratings and the clients' ratings, and is caused by the fact that there was no proof to authenticate their statements. The training and development function, as a whole, carries a weighting of 130.

2.17.6 Industrial Relations Function.

The industrial relations function received a mean rating of 185,8 and an overall effectiveness rating of 92,9% from the respondents, while their clients gave a mean rating of 159 and an overall effectiveness rating of 79,5%. This is relatively lower than the respondents' ratings. The researcher gave a rating of 110 and an overall effectiveness rating of 55%, which is enormously lower than both the respondents' ratings and the HR

clients' ratings. This was because the respondents could not substantiate their claim. The industrial relations function, as a whole, carries a weighting of 200.

2.17.7 Human Resource Function.

The respondents gave the HRM function a mean rating of 128,7 and an overall effectiveness rating of 93,4%, while their clients gave a mean rating of 105,8 and an overall effectiveness rating of 76,5%. The researcher gave a rating of 43,3 and an overall effectiveness rating of HRM as 31,3%. The researcher's ratings were comparatively extremely low, and this was caused by the fact that she did not get any written proof to validate the respondents' and their clients' statements. Considering that self-evaluation is always biased, and looking at the researcher's ratings, it is clear that the HRM function is not at the expected level of effectiveness. The human resource function, as a whole, carries a weighting of 138,3.

3. HRM EVALUATION QUESTIONNAIRE RESULTS OF INSTITUTION B.

3.1 Introduction.

The responses from the respondents, taken from their completed HR questionnaires pertaining to recruitment, selection, performance management, training and development and industrial relations functions, are presented in this section. They are comprised of the Acting HRM Director, and she was included in this study instead of the HRM Executive Director because this position was not yet filled at the time when the questionnaires were completed. This was because of her sufficient knowledge of the HRM functions, as well as strategic issues pertaining to Human Resource Management. The second category of participants consisted of HR managers and an HRM practitioner from this institution. They all possessed adequate knowledge of the HRM functions and these functions formed part of their key performance areas.

The third category consisted of individuals who were not directly involved in the execution of HRM functions, but formed part of the HRM department's key internal clients. These entailed the Deputy Director, Faculty Research Coordinators and a Branch Manager. The reason for their involvement in this study was because they were dealing directly with the HRM department, in fact, they were end-users of the HRM service-delivery. They dealt with the HRM department almost on a daily basis, and could tell when the level of service delivery was not up to their expectation, meaning that they were better judges of their performance. Another reason was that, according to Yusoff *et al.* (2009), HR professionals often rated the effectiveness of the HRM function higher, compared to line managers, and so, in order to have an all-inclusive evaluation of HRM, the study needed a customer-centred evaluation of effectiveness.

It should be noted that the Deputy Vice-Chancellor and the Dean did not complete the evaluation questionnaire, since they were not directly involved in the execution of these functions. Since qualitative researchers may choose to be passive observers or active participants in the research study (Martella *et al.* 2013:304). The researcher chose to be an active participant in this study, and she was also one of those who completed the questionnaire. The reason for this was for her to provide her own opinion based on what she observed from the reactions and responses of the respondents, and also to compare her ratings to the HR staff's ratings, as well as that of the end-users of their service delivery.

The HR staff did not complete all the functions in the questionnaire. They only completed the sections of functions in which they were directly involved. When the researcher asked them to complete all the functions in the questionnaire, they indicated that they had insufficient knowledge to provide accurate responses regarding the functions in question. Hence, some of these tables were completed by one or two HR respondents. Table 5.9 shows the number and categories of the respondents who completed the questionnaires.

3.2 Responses from the HR Staff of Institution B.

This section presents the number and categories of the respondents who completed the questionnaire. This is depicted in Table 5.9.

Table 5.9: Job Categories and Number of Respondents.

JOB TITLE	INST. B
Human Resource Acting Director	1
Human Resource Manager/Senior HR Practitioners	2
Human Resource Practitioner	1
Faculty Research Coordinators	2
Deputy Director	1
Branch Manager	1
The Researcher	1
TOTAL	**9**

3.3 The individuals who completed the questionnaire.

This section of the questionnaire was completed by:

i. Acting HRM Director.
ii. HRM Practitioner.
iii. Faculty Research Coordinators,
iv. Deputy Director.
v. Branch Manager.
vi. Researcher

3.4 Ratings on the Recruitment Function.

This section presents the ratings of HR personnel, HR clients and the researcher on the recruitment function. This is depicted in Table 5.10.

Table 5.10: Ratings of the seven respondents on the statements of the HRM questionnaire (Recruitment).

STATEMENT	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	**MEAN**	I	ii	iii	iv	**MEAN**	**Vii**
1. A written recruitment policy is in place.	10	10	**10**	5	8	3	7	**6**	**10**
2. There are proper recruitment processes and procedures in place.	10	10	**10**	5	4	7	4	**5**	**10**
3. Recruitment staff adhere to the policy.	7,5	10	**8,8**	6	2	3	5	**4**	**0**
4.The recruitment policy has been communicated to all stakeholders.	7,5	10	**8,8**	4	4	2	6	**4**	**0**
5.The recruitment function is evaluated annually.	5	5	**5**	4	4	3	4	**4**	**0**
6.The recruitment policy is reviewed annually.	7,5	5	**6,3**	4	2	1	4	**3**	**0**
7.Appropriate media are used for recruitment.	10	7,5	**8,8**	10	6	8	0	**6**	**10**

Table 5.10 Ratings of the seven respondents on the statements of the HRM questionnaire (Recruitment) cont'd.

STATEMENT	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	**MEAN**	I	ii	iii	iv	**MEAN**	**Vii**
8. All stakeholders are consulted in the formulation and amendment to policy.	10	10	**10**	5	2	8	3	**5**	**0**
9.The policy is implemented in compliance with the labour legislation.	10	10	**10**	8	3	6	6	**6**	**0**
TOTAL (90 MAXIMUM)	**77,5**	**77,5**	**77,7**	**51**	**35**	**41**	**39**	**43**	**30**
EFFECTIVENESS OF THE FUNCTION (x/90)%	**86,1**	**86,1**	**86,3**	**56,6**	**38,8**	**45,5**	**43,3**	**47,7**	**33.3**

3.5 Analysis and Interpretation (Table 5.10).

The Recruitment Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of statements 1, 2 and 7, excluding all the other statements. The reason for this is because the policy and procedures were available on the institution's website, and there was also proof that the

institution used appropriate media for the recruitment of its prospective employees (e.g. Sunday Times, the website, etc.).

Statements 3 to 6, 8 and 9 were given mean ratings ranging from 5 to 10 by the respondents, while the researcher's ratings were 0. The researcher provided these lower ratings because there was no evidence indicating that these activities were necessarily carried out, or that the policy was religiously followed, or that all the stakeholders were informed of its existence. The interview findings had also indicated that the recruitment function was never evaluated. HRM's internal clients' mean ratings were also lower than that of the respondents, meaning that HR's level of performance was not to their satisfaction. This could have been caused by the fact that the internal clients could give an informed decision regarding their service delivery, since they were directly involved with the HRM department in the recruitment and selection of their staff members, as well as other HRM functional areas.

The recruitment function carries a weighting of 90 as indicated in the table (nine statements times a maximum rating of 10). The overall effectiveness rating of the function ranges between 86,1% and 86,3%, meaning that it is relatively high. However, the researcher's overall effectiveness rating of the recruitment function is as low as 33.3%, and the internal clients' overall effectiveness rating of the function ranged between 38,8% and 56,6%. Although, when comparing the internal clients' and researcher's overall ratings with the Deputy Vice-Chancellor and Dean's interview findings, it was revealed that there was plenty of room for improvement in HR's performance. This means that they had not yet reached the required level of performance and there is a likelihood of a response bias in HR's ratings, since self-evaluation is generally overstated (Yusoff *et al.,* 2009). Therefore, HR needs to develop the capacity of its staff in order reach a high standard of effectiveness.

3.6 Ratings on the Selection Function.

This section presents the ratings of HR personnel, HR clients and the researcher on the selection function, and these are depicted in Table 5.11.

Table 5.11: Ratings of the seven respondents on the statements of the HRM questionnaire (Selection).

STATEMENT	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	MEAN	i	ii	Iii	iv	MEAN	Vii
1.A written selection policy is in place.	10	10	**10**	7	8	3	7	**6,2**	10
2.The selection staff members adhere to the selection policy.	7,5	10	**8,8**	7	6	3	5	**5,2**	**0**
3.All legal requirements are met.	7,5	10	**8,8**	8	2	8	6	**6**	**0**
4.Interviewers ask questions that are Legal.	10	10	**10**	9	7	7	7	**7,5**	0
5.Interviewers ask questions that elicit information which is behaviourally-based.	10	10	**10**	6	7	7	7	**6,7**	0
6.Adequate testing is completed before extending an offer to ensure that the person has the appropriate skills, knowledge and style to be successful in the position.	7,5	7,5	7,5	7	1	2	5	3,7	0
7.Background checking is undertaken before extending an offer to ensure that the person has given accurate information.	10	10	**10**	9	1	3	0	**3,2**	0

Table 5.11: Ratings of the seven respondents on the statements of the HRM questionnaire (Selection)cont'd.

STATEMENT	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	**ii**	**MEAN**	**i**	li	lii	iv	**MEAN**	**Vii**
8.There is a clear process in place for notification of candidates.	10	10	**10**	9	2	8	7	**6,5**	0
9.The selection policy is reviewed annually.	7,5	5	**6,3**	7	5	3	5	**5**	**0**
10.The selection function is evaluated annually	7,5	5	**6,3**	7	5	3	5	**5**	**0**
11.All stakeholders are consulted in the formulation and amendment of the selection policy.	10	10	**10**	7	4	6	7	**6**	0
12.There is consistency between Policies.	7,5	7,5	**7,5**	5	5	4	5	**4,7**	0
13.There is consistency between practices.	7,5	7,5	**7,5**	5	3	3	5	**4**	0
TOTAL (130 MAXIMUM)	**112,5**	**112,5**	**112,7**	**93**	**56**	**60**	**71**	**69.7**	**10**
EFFECTIVENESS OF THE FUNCTION (x/130)%	**86,5**	**86,5**	**86,6**	**71,5**	**43**	**46**	**54,6**	**53.6**	**7.6**

3.7 Analysis and Interpretation (Table 5.11).

The Selection Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in

agreement with the respondents on the ratings of statement 1, of which they both rated 10, but not on the ratings of statements 2 to 13.

Statements 2 to 13's ratings ranged between 6,3 and 10 by the respondents, while the researcher's ratings were 0. The researcher provided comparatively low ratings for these statements since the respondents did not provide any written evidence to prove that some of these functions were carried out.

Statement 9 and 10 had a mean rating of 6,3 each by the respondents, which is a relatively low mean rating compared to the ratings they had given to the rest of the statements in this function. This could mean that they were uncertain or covering up. When comparing these ratings with the relatively low ratings provided by the Faculty Research Coordinators, Deputy Director and Branch Manager, as internal clients of the HRM department, as well as the interview findings in which the Deputy Vice-Chancellor indicated that HR had not yet reached the acceptable level of performance, this could mean that HR failed to meet the requirements of their clients.

The selection function carries a weighting of 130 as indicated in the table (13 statements times a maximum rating of 10). This function carries more weighting than the recruitment function. The overall effectiveness rating of the selection function is high and ranges between 86,5% and 86,6%, compared to the researcher's overall effectiveness rating of this function, which is 7.6% and the overall effectiveness rating given by internal clients, ranging between 43% and 71.5%. This could be because the HR staffs have exaggerated the rating of their services. However, the overall effectiveness rating of the selection function needs to be improved so that it could reach the acceptable level of effectiveness.

3.8 Ratings on the Performance Management Function.

As indicated in the previous tables, the HR staff did not complete all the functions in the questionnaire, they only completed the sections of functions in which they were directly involved. This section was completed by the Performance Management/Learning and Development Manager, the researcher, the Deputy Director, the Faculty Research Coordinators and a Branch Manager. Kindly note that the mean column mentioned in this Table 5.12 is for the internal clients of the HRM department and does not include the HR staff ratings. This table also presents the ratings on the performance management function.

TABLE 5.12: Ratings of the six respondents on the statements of the HRM questionnaire (Performance Management).

STATEMENT	HUMAN RESOURCE STAFF	HUMAN RESOURCE CLIENTS					RESEARCHER
	I	i	Ii	iii	iv	**MEAN**	**Vi**
1. A written performance management policy is in place.	**2,5**	3	8	8	6	**6,2**	**10**
2. There is a performance management system in place.	**2,5**	3	8	4	3	**4,5**	**10**
3. The process of employee performance evaluation is in place.	**2,5**	3	6	6	3	**4,5**	**10**
4. There are proper performance management processes and procedures in place.	**2,5**	3	6	4	3	**4**	**10**

Table 5.12: Ratings of the six respondents on the statements of the HRM questionnaire (Performance Management) cont'd.

STATEMENT	HUMAN RESOURCE STAFF	HUMAN RESOURCE CLIENTS					RESEARCHER
	I	i	Ii	iii	iv	MEAN	Vi
5. Copies of job descriptions are in each personnel file.	**5**	3	1	7	7	**4,5**	**0**
6. Copies of performance improvement plans are in each personnel file.	**2,5**	3	1	2	7	**3,2**	**0**
7. The performance management policy is communicated to all stakeholders.	**2,5**	2	2	6	5	**3,7**	**0**
8. The policy is implemented in compliance with the legislation.	**2,5**	2	7	7	5	**5,2**	**0**
9. The performance management system is evaluated annually.	**0**	2	5	3	4	**3,5**	**0**
10. The performance management policy is reviewed regularly.	**0**	2	5	3	4	**3,5**	**0**
11. Employee performance review is done quarterly.	**2,5**	2	1	7	7	**4,2**	**0**
12. Performance is tied to compensation.	**0**	2	1	1	2	**1,5**	**0**
13. Managers are involved in setting realistic performance objectives for employees that encourage continuous improvement.	**2,5**	3	1	2	7	**3,2**	**0**
14. Managers are involved in identifying knowledge, skills and behaviours needed by employees to achieve the necessary performance standards.	**2,5**	4	1	6	7	**4,5**	**0**
TOTAL (140 MAXIMUM)	**30**	37	53	66	70	**56,2**	**40**
EFFECTIVENESS OF THE FUNCTION (x/140)%	**21**	**26,4**	**37,8**	**47,1**	**50**	**40,1**	**28.5**

3.9 Analysis and Interpretation (Table 5.12).

Performance Management Function

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The respondent had given lower ratings of 2.5, in statements 1 to 4, while the researcher gave similar statements high ratings of 10, excluding statements 5 to 8, 11, 13 and 14. This was because the respondent had, at some point in the interview, indicated that the performance management policy was available on the institution's website, meaning that there was documentary proof to which the researcher could attest to. There was also a performance management system, employee performance evaluation, as well as performance management processes and procedures in place. It is therefore doubtful that the statement was rated objectively, and according to the criteria of "best practice".

Statements 5 to 8, 11, 13 and 14's ratings, by the respondents, ranged between 2,5 and 5, while the researcher gave a 0 rating to all these statements. The researcher gave 0 ratings because there was no written evidence to prove that there were copies of job descriptions or performance improvement plans in the employee files, or that employee performance reviews were carried out quarterly, or that managers were involved in setting realistic performance goals for employees. The respondent had also indicated, at some point in their interview, that carrying out employee performance evaluations was a challenge, since the function was freshly reintroduced and it was still too early to carry out the evaluation of employee performance. However, when comparing the HR respondent's ratings to HR's internal clients' mean ratings, their ratings were higher than the HR respondent's ratings, this could have been caused by the fact that this function was newly introduced and it was too early for the respondent to judge its effectiveness. On the other hand, there could be a possibility that the internal clients rated these statements subjectively.

The performance management function carries a weighting of 140 as indicated in the table (14 statements times a maximum rating of 10). It carries more weighting than both the recruitment and selection functions because it entails more key performance areas.

The overall effectiveness of this function was rated as low as 21%, whereas the researcher's rated overall effectiveness of the performance management function was 28.5%. However, the overall effectiveness rating of the internal clients ranged between 26,4% and 50%, which is relatively higher than that of the researcher and the HR staff. This could mean there was uncertainty that the different statements have been rated objectively, and according to the criteria of "best practice" by the internal clients. Nevertheless, the overall effectiveness rating of the performance management function was very low and needed to improve in order to reach a required level of effectiveness.

3.10 Ratings on the Compensation and Benefits Function.

This section presents the HR personnel, HR clients and the researcher's ratings on the compensation and benefits function. This is presented in Table 5.13.

TABLE 5.13: Ratings of the six respondents on the statements of the HRM questionnaire (Compensation and Benefits).

STATEMENT	HUMAN RESOURCE STAFF	HUMAN RESOURCE CLIENTS					RESEARCHER
	I	i	ii	Iii	Iv	MEAN	Vi
1. A written compensation and benefits policy is in place.	**7,5**	3	3	2	2	**2,5**	**10**
2. The compensation policy is communicated to all stakeholders.	**7,5**	2	1	2	2	**1,7**	**0**
3. Local markets evaluation is done annually to ensure external equity.	**10**	2	3	6	2	**3,2**	**0**
4. Compensation levels are monitored and reviewed	**7,5**	2	1	7	2	**3**	**0**
5. There is a formal pay structure.	**7,5**	4	5	9	2	**5**	**10**
6. A compensation plan is communicated to all stakeholders.	**10**	2	4	4	2	**3**	**10**
7. Employees are informed about their benefits	**10**	5	8	3	2	**4,5**	**10**
8. Compensation systems and processes are evaluated regularly.	**7,5**	3	3	3	2	**2,7**	**0**
9. The compensation policy is evaluated annually.	**5**	3	2	2	2	**2.2**	**0**
10. All stakeholders are consulted in the review of the policy.	**10**	2	2	7	2	**3,2**	**0**
11. The processes are consistently followed	**7,5**	5	1	5	2	**3,2**	**0**
12. Employers cannot make deductions from their employees' salaries without the their approval.	**10**	9	8	7	7	**7,7**	**10**

TABLE 5.13: Ratings of the six respondents on the statements of the HRM questionnaire (Compensation and Benefits) cont'd.

STATEMENT	HUMAN RESOURCE STAFF	HUMAN RESOURCE CLIENTS					RESEARCHER
	I	i	Ii	iii	Iv	MEAN	vi
13. Stakeholders are consulted in the formulation and amendments to the policy.	**10**	6	5	7	5	**5,7**	**0**
14. Compensation staff members adhere to the compensation policy.	**10**	6	6	5	5	**5,5**	**0**
TOTAL (140 MAXIMUM)	**120**	**54**	**52**	**69**	**39**	**53,1**	**50**
EFFECTIVENESS OF THE FUNCTION(x/140)%	**86**	**38,5**	**37,1**	**49.2**	**27,8**	**37,9**	**35.7**

3.11 Analysis and Interpretation (Table 5.13).

The Compensation and Benefits Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of all the statements, rated between 7.5 and 10 by the respondent and 10 by the researcher. The reason for the researcher to be in agreement was because, firstly, there was evidence of the existing policy; secondly, the researcher was given a copy of the institution's pay structure by one of the respondents; thirdly, she was provided with a copy of an email from the shop-steward inviting members of the union to attend a meeting in which they would be briefed on the compensation plans for the following year; and lastly, the researcher was provided

with a copy of an appointment letter with employee benefits included in the letter.

Statements 2 to 4 and 8 to 11, 13 and 14 were given ratings between 5 and 10 by the respondents, while the researcher rated them 0. This was because there was no written proof indicating that these functions were indeed carried out to some extent or to a large extent. The compensation function carries a weighting of 140 as indicated in the table (14 statements times a maximum rating of 10). This function also carries the same weighting as performance management.

The overall effectiveness rating of this function is as high as 86%, whereas the researcher's rated overall effectiveness of the compensation function is 35.7%. The researcher's overall effectiveness rating of the function is comparatively lower than the HR staff's rating. Taking into account the internal clients' effectiveness rating of the function, which ranges between 27,8% and 49,2%, it is also relatively lower than the HR respondents' rating. The discrepancy in the ratings might have happened because HR has a tendency to embellish the effectiveness of their performance as compared to their internal clients' ratings. HR needs to bring this function's effectiveness to a required level of competency.

3.12 Ratings on the Training and Development Function.

This section presents the HR personnel, HR clients and the researcher's ratings on the training and development function. This is presented in Table 5.14.

TABLE 5.14: Ratings of one respondent on the statements of the HRM questionnaire (Training and Development).

STATEMENT	HUMAN RESOURCE STAFF	HUMAN RESOURCE CLIENTS					RESEARCHER
	I	i	ii	iii	iv	**MEAN**	**vi**
1. A written training and development policy is in place.	**10**	6	5	8	7	**6,5**	**10**
2. A training and development system is in place.	**10**	6	8	8	7	**7,2**	**10**
3. There are proper training processes and procedures in place.	**10**	7	6	9	5	**6,7**	**10**
4. There are staff development programmes in place.	**10**	8	9	8	7	**8**	**10**
5. The training and development function is regularly evaluated.	**10**	8	7	3	7	**6,2**	**0**
6. Employee orientation is conducted.	**10**	9	4	9	7	**7,2**	**0**
7. The same training processes are used for all levels of positions.	**7,5**	9	5	5	5	**6**	**0**
8. The policy is communicated to all stakeholders.	**10**	9	3	3	7	**5,5**	**0**
9. All training is job-related.	**7,5**	9	2	2	5	**4,5**	**0**
10. Stakeholders are consulted in the formulation and amendments to the policy.	**10**	6	3	7	5	**5,2**	**0**
11. The training and development policy is reviewed regularly.	7,5	6	5	3	5	**4,7**	**0**
12. The policy is implemented in compliance with the labour legislation.	10	7	5	8	5	**6,2**	**0**
13. The training programmes are designed in accordance with employee needs.	10	7	2	8	5	**5,5**	**0**
TOTAL (130 MAXIMUM)	**122,5**	**97**	**64**	**81**	**77**	**79,4**	**40**
EFFECTIVENESS OF THE FUNCTION (x/130)%.	**94,2**	**74,6**	**49,2**	**62,3**	**59,2**	**61**	**30,7**

3.13 Analysis and Interpretation (Table 5.14).

The Training and Development Function.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondent on the ratings of all the statements, excluding statements 5 to 13. The researcher is in agreement with these statements because the learning and development policy is on the institution's website, and the respondent provided the researcher with documentation to prove that there was a learning and development system as well as proper processes and procedures in place. In addition, a copy of all the staff development programmes for that particular year was circulated to all employees within the institution, in order to choose the programmes they were willing to attend.

Statements 5 to 13 were given mean ratings ranging between 7,5 and 10 by the respondent whereas the researcher's ratings were 0, and were relatively lower than the respondent's ratings. This was because the respondent failed to back up her claim by producing any evidence that these functions were essentially carried out to a large extent. The respondent had also indicated, at some point in the interview, that the function was not evaluated, which is in contrast to the respondent's ratings. HR's internal clients also provided lower mean ratings than the HR staff ratings, ranging between 4,5 and 8, meaning that they were also not satisfied with their service delivery.

The training and development function carries a weighting of 130 as indicated in the table (13 statements times a maximum rating of 10). This function has a similar weighting to the selection function. The respondent's overall effectiveness rating of this function is as high as 94,2%, while the clients' overall effectiveness rating ranged between 49,2% and 74,6%. The researcher's overall effectiveness rating of the training and development function is 30,7%, which is comparably less than the HR staff rating. This could mean that the HR respondent had overrated this function since the recipients' low mean ratings revealed that they were not meeting their performance

expectation. HR needs to bring this function's effectiveness to a required level of competency.

3.14 Ratings on the Industrial Relations Function.

This section presents the HR personnel, HR clients and the researcher's ratings on the industrial relations function. This is presented in Table 5.15.

TABLE 5.15: Ratings of the two respondents on the statements of the HRM questionnaire (Industrial Relations).

STATEMENT	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	MEAN	i	ii	iii	iv	MEAN	Vii
1. There is an industrial relations policy in place.	10	10	**10**	2	8	8	7	**6.2**	**10**
2. The policy covers all types of misconduct and the disciplinary procedures thereof.	10	7,5	**10**	3	8	8	5	**6**	**10**
3. The industrial relations function is evaluated regularly.	7,5	10	**8,8**	3	7	3	5	**4,5**	**0**
4. There are grievance procedures in place.	10	10	**10**	4	8	8	5	**6,2**	**10**
5. There are union representatives in place.	10	10	**10**	7	7	8	4	**6,5**	**10**
6. Workplace forums function to the best of their ability.	7,5	10	**8.8**	6	1	2	5	**3,5**	**0**
7. There are low rates of grievances handled in the institution.	5	5	**5**	2	3	2	4	**2,7**	**0**
8. There is a follow-up evaluation process in place after disciplinary action.	7,5	7,5	**7,5**	3	5	5	5	**4,5**	**0**
9. There are collective agreements with unions in place.	10	10	**10**	3	4	8	4	**4,7**	**10**

Table 5.15: Ratings of the two respondents on the statements of the HRM questionnaire (Industrial Relations) cont'd.

STATEMENTS	HUMAN RESOURCE STAFF			HUMAN RESOURCE CLIENTS					RESEARCHER
	i	ii	**MEAN**	i	ii	iii	iv	**MEAN**	**vii**
10. Grievance procedures are handled in a fair and consistent manner.	10	7,5	**8,8**	2	5	4	5	**4**	**0**
11. Grievance procedures are communicated to stakeholders.	10	10	**10**	2	1	2	5	**2,5**	**0**
12. Disciplinary actions are communicated to employees.	10	10	**10**	2	5	7	5	**4,7**	**0**
13. Disciplinary actions are conducted in a fair and consistent manner.	10	10	**10**	3	5	7	5	**5**	**0**
14. Harassment is covered in the policy.	10	10	**10**	3	5	8	4	**5**	**10**
15. The policy covers violent actions.	10	10	**10**	3	5	8	4	**5**	**10**
16. Progressive discipline is covered in the policy.	7,5	10	**8,8**	3	5	9	4	**5,2**	**10**
17. The policy covers labour regulations.	10	10	**10**	2	5	7	4	**4,5**	**10**
18. The policy covers leave etc.	5	10	**7,5**	2	5	2	4	**3,2**	**10**
19. Stakeholders are consulted in the formulation and amendments to policy.	10	10	**10**	2	5	7	4	**4,5**	**0**
20. The industrial relations policy is reviewed regularly.	10	10	**10**	2	5	3	4	**3,5**	**0**
TOTAL (200 MAXIMUM)	**180**	**187,5**	**185,2**	**59**	**180**	**116**	**92**	**91.9**	**100**
EFFECTIVENESS OF THE FUNCTION (x/200)%	**90**	**93,7**	**92,7**	**29,5**	**90**	**58**	**46**	**45.9**	**50**

3.15 Analysis and Interpretation (Table 5.15).

Industrial Relations.

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The researcher is in agreement with the respondents on the ratings of all the statements, excluding statements 3, 6 to 8, 10 to 13, 19 and 20. Her reasoning stems from the existence of the policy she downloaded from the institution's website, as it covers all forms of misconduct and disciplinary procedures, grievance procedures, harassment, violent actions, progressive discipline, labour regulations and leave.

Statements 3, 6 to 8, 10 to 13, 19 and 20 were given mean ratings ranging between 5 and 10 by the respondents, while the researcher gave each of them a 0 rating. This was because the researcher was not provided with tangible proof that the functions mentioned in these statements were carried out, or that statistics indicated that there was a low rate of grievances, or that follow-up evaluations were conducted after disciplinary action, or that grievances were handled in a fair and consistent manner, or that the grievance procedures were communicated to stakeholders. The internal clients' mean ratings ranged between 2,5 and 6,5, and this might have been caused by the fact that the internal clients were not satisfied with the level of performance provided by the HRM department.

The industrial relations function carries a weighting of 200 as indicated in the table (20 statements times a maximum rating of 10). This function carries more weighting than any of the five functions in this study, since it contains more key performance areas.

The respondents' overall effectiveness rating of this function ranges from 90%-93,7%, whereas the researcher's rated overall effectiveness of the industrial relations function is 50%, which is comparatively lower than the HR staff's ratings. The internal clients' overall effectiveness rating ranges between 29,5% and 90%, and this is also relatively lower than the HR staff's overall effectiveness rating. This shows that HR's performance

has not yet reached the satisfactory level of performance required by its internal clients, meaning that there is enormous room for improvement.

3.16 Summary of the Results from the Questionnaire for Institution B.

This section presents a summary of the results for the six HRM functions under study, as well as the overall rating for the HRM function, as a whole, for Institution B. Table 5.16 presents the ratings.

TABLE 5.16: Ratings by HR Staff, Clients and the Researcher.

INSTITUTION B – HRM Function's Effectiveness.

HR MANAGEMENT FUNCTION.		HR STAFF		HR CLIENTS		RESEARCHER	
	WEIGHT	**MEAN RATING**	**FUNCTION'S EFFECTIVENESS (%)**	**MEAN RATING**	**FUNCTION'S EFFECTIVENESS (%)**	**MEAN RATING**	**FUNCTION'S EFFECTIVENESS (%)**
Recruitment	90	77,7	86,3	43	47,7	30	33.3
Selection	130	112,7	86,6	69,7	53,6	10	7.6
Performance Management System	140	30	21	56,2	40,1	40	28.5
Compensation and Benefits	140	120	86	53,1	37,9	50	35.7
Training and Development	130	122,5	94,2	79,4	61	40	30,7
Industrial Relations	200	185,2	92,7	91,9	45,9	50	100
TOTAL (/6)	830	648,1	466,8	393,3	286,2	220	235.8
HRM Function as a whole (mean)	**138,3**	**108**	**77,8**	**65,5**	**47,7**	**36.6**	**39.3**
The Effectiveness of HRM Function (Total/830)		**78%**		**47,3%**		**26.4%**	

3.17 Analysis and Interpretation (Table 5.16).

3.17.1 The Recruitment Function.

The recruitment function received a mean rating of 77,7 by the respondents and an overall effectiveness rating of 86,3%. This is extremely high when compared to HR's internal clients' mean rating of 43, and the function's overall effectiveness rating of 47,7%, as well as the researcher's rating of 30 and the overall effectiveness rating of the function, which is 33.3%. This indicates that HR did not meet the internal clients' expected level of service, or that the HR staff embellished the ratings of their services. On the other hand, the researcher did not receive any documentary proof to support HR's claim with regard to their service delivery. The recruitment function, as a whole, carries a weighting of 90.

3.17.2 The Selection Function.

The selection function was given a mean rating of 112,7 by the respondents, as well as an overall effectiveness rating of 86,6%, which is almost twice as high as their internal clients' mean ratings of 69,7 and an overall effectiveness rating of 53,6%. The researcher gave a rating of 10 and an overall effectiveness rating of 7.6%. This is very low compared to HR's ratings. The researcher's ratings of this function are the lowest as compared to her ratings of other functions she has rated in this study. This implies that HR had not delivered to the satisfaction of their clients, and that the researcher was not convinced that this function was carried out to the expected level. This function, as a whole, carries a weighting of 130.

3.17.3 The Performance Management Function.

Regarding the performance management function, the respondent gave a mean rating of 30 and an overall rating of 21%, which is almost twice lower than the internal clients' mean rating of 56,2 and 40.1% for the overall effectiveness rating of the performance

management function. The researcher's rating is 40 and the overall effectiveness rating is 28.5%, which is slightly higher than the respondent's rating. This is the only function which has been rated the lowest by the respondent, is might have been caused by the fact that it was newly re-introduced, as claimed by the respondent during the interviews, and that some of the functions were not yet carried out. The researcher gave a slightly higher ratings compared to the respondent but slightly lower than the internal clients. This was because she had some documentary proof to substantiate the respondent's claim. The function, as a whole, carries a weighting of 140.

3.17.4 The Compensation and Benefits Function.

The compensation and benefits function was given a mean rating of 120 by the respondents and an overall effectiveness rating of 86%, which is tremendously high compared to their internal clients, who gave a mean rating of 53,1 and an overall effectiveness rating of 37,9%. This could have been caused by the fact that they were not content with some of the activities carried out in this function, or that HR overrated their ratings for this function. The researcher gave a rating of 50 and an overall effectiveness rating of 35.7%, which is in the same range as the HR clients. This is almost three times lower than the respondent's ratings, since she could not validate her statements. The compensation and benefits function carries a weighting of 140.

3.17.5 The Training and Development Function.

The training and development function, as well as industrial relations function received a mean rating of 122,5, as well as an overall effectiveness rating of 94,2%, while their internal clients gave a mean rating of 79,4 and an overall effectiveness rating of 61%, which is lower than the respondents' ratings. The researcher gave the training and development function a rating of 40 and an overall effectiveness rating of 30,7%, which is also enormously lower than their ratings. This could mean that the internal clients were not happy with the HR service delivery, or that they failed to back up their statements with any evidence. The training and development function carries a weighting of 130.

3.17.6 The Industrial Relations Function.

The industrial relations function was given a rating of 185,2 by the respondents as well as an overall effectiveness rating of 92,7%, which is twice as high as their internal clients' mean rating of 91,9 and overall rating of 45,9%. The internal clients' lower ratings may have been caused by HR not being able to meet their expected level of service delivery. The researcher's ratings (100 and 50%) were almost in the same range as the respondents' internal clients, and lower than the respondents' ratings. Although she could not agree with some of the statements due to non-availability of documentary proof to validate those statements, she was provided with documentary proof on some of these statements. For instance, the employee relations policy covered all types of misconduct, disciplinary and grievance procedures, harassment, violent actions, progressive discipline, labour regulations, and leave, etc. There were also union representatives in the institution as well as collective agreements with unions. This function carries a weighting of 200.

3.17.7 The HRM function.

The overall weighting of the HRM function is 138,3, while the respondents gave it a mean rating of 108 and an overall effectiveness rating of 78%. The HR clients gave a mean rating of 65,5 and an overall effective ness rating of 47.3%, while the researcher gave a mean rating of 36.6 and the overall effectiveness rating of 26.4%. The clients' mean ratings for the entire HRM function as well as their overall rating of the effectiveness of the HRM function are almost twice lower than the respondents' ratings. This might have been caused by the clients' dissatisfaction of the services rendered by the HRM department. When looking at the researcher's overall rating of the HRM function and its overall effectiveness, they are almost three times lower than the respondents' ratings. This was because HR did not produce any documentary proof that this function was carried out to a satisfactory level.

4. INTERVIEW RESULTS OF THE STUDY.

4.1 Introduction.

This section presents the research questions as well as the interview questions asked for each of these research questions, which are depicted in Table 5.17 The responses are from a total of 11 participants, five from Institution A and six from Institution B. The reason why only five participants were interviewed at Institution A, instead of six, is because all the attempts by the researcher to contact the sixth participant by telephone or e-mails failed. The participants at Institution A included the Deputy Vice Chancellor, the Executive Director for the HRM department and the HR senior practitioners. At Institution B, they comprised of the Deputy Vice Chancellor, the Dean of a faculty, the Acting Director for the HRM department, the HR Managers and the HR practitioner. The reason why the Acting HRM Director was interviewed, instead of the HRM Executive Director, was because the position was vacant and had not yet been upgraded to the HRM Executive Director's position.

4.2 Interview Schedules.

The researcher employed three different interview schedules (Appendices, a,b & c) in her data collection method. The first one was an interview schedule for the Deputy Vice Chancellors, since they were part of the executive team members of the institution. The main focus of this interview questions was on their perception of HRM. The second interview schedule was for the Deans as they were middle management and clients of the HRM department. The main focus of the interview schedule questions was to get their opinion on the service rendered by the HRM department. The third interview schedule was divided into two parts. The first part of the schedule was meant for the HR Executive Directors as the heads of the department. The main focus was to find out

whether HRM, as a whole, was ever evaluated. The second part of the schedule was meant for the HR staff members. The focus was to determine whether these functions were evaluated, since they were the people who were involved in the execution of the HRM functions understudy. Table 5.17 presents the research questions and the interview schedule questions.

Table 5.17: Research Questions and Interview Questions for Each Research Question.

Research Questions.	Interview Schedule Questions.
Do tertiary institutions in the Western Cape Province evaluate their human resource functions?	Is the performance of HRM function evaluated at your institution?
Does top management perceive HRM as part of the top management team?	What is your perception of the function of HRM at this institution?
How is HRM viewed by faculties and department?	How do you think HR, as a whole, was viewed by the faculties, departments and units, prior to the introduction of the new HRM Executive Director?
Did it affect the HRM department's performance?	How did it affect the performance of the HRM department?
Has the perception changed?	Do you think the perception has now changed?
To what extent is the recruitment function evaluated?	Is the recruitment function evaluated at your institution?
Does a recruitment policy exist?	Do you have a written recruitment policy in place?
Is appropriate mediate used for recruitment?	How do you ensure that appropriate media is used for your recruitment?
To what extent is performance management function evaluated?	Is the performance management function evaluated at your institution?
Are there any performance management systems in place?	Do you have proper performance management systems in place?

Table 5.17: Research Questions and Interview Questions for Each Research Question (Cont'd.)

Research Questions.	Interview Schedule Questions.
Does the institution have a performance management policy in place?	Do you have a performance management policy in place?
To what extent is the performance management policy reviewed?	Is the performance management policy reviewed annually?
To what extent is the compensation function evaluated	Is compensation function evaluated at your institution?
Does a compensation policy exist?	Do you have a compensation policy at your institution?
Is reward linked to performance?	Is performance linked to compensation at your institution?
How is salary increment determined?	How do you determine your annual salary increases? If discussed at a meeting, which stakeholders are present?
How is salary determined, with regard to promotions?	In the case of promotions, how are salaries determined?
Is HRM the eyes and ears of top management?	Do you see HRM as the eyes and ears of top management, for instance, with regard to changes taking place in the global market? (For example, the introduction of new technology).
How do you think management perceives HRM?	As an Executive Director of HR, how do you think management perceives HR, as a whole, in this institution?
To what extent are the processes consistently followed?	What procedure do you have to ensure that your processes are consistently followed?
To what extent is training and development function evaluated?	Is training and development function evaluated at your institution?
Are there any staff development programmes?	What systems do you have for training and development?
Are there any different training programmes used for different level jobs?	Do you use different training for different levels of positions?
To what extent is selection evaluated?	Is your selection function evaluated?

Table 5.17: Research Questions and Interview Questions for Each Research Question (Cont'd.).

Research Questions	Interview Schedule Questions
Is the selection policy effectively implemented?	What processes do you have in place to ensure that your selection policy is effectively implemented?
Are legal requirements complied with at your institution?	What processes and procedures are in place to ensure that your selection function is in line with legal requirements?
Are the same processes used for all the jobs?	What processes do you use for different positions in your institution?
To what extent is the industrial relations function evaluated?	Is the industrial relations function evaluated at your institution?
Are there any proper industrial relations processes and procedures in place?	What have you done to ensure that you have proper industrial relations processes and procedures in place?
Are grievances handled in a fair and consistent manner?	How do you handle your grievance processes?
Are there any written grievance procedures? If so, how are they communicated to employees?	How do you ensure that employees are aware of the grievance procedures available at your institution?
How are disciplinary actions communicated to employees?	What are the most frequently used communication channels for disseminating information regarding disciplinary actions at your institution?
What categories of warning s are there in place?	What are the categories of warnings and their durations?
What is the duration for record keeping	How long do you keep the records of the disciplinary action against the employee in the file?
To what extent is the HRM Executive involved in top management decision-making?	How involved is the HRM Executive in top management decision-making?
What role is played by the HRM function at this institution?	What would you say is the role of the HRM function at this institution?

4.3 Institution A (Deputy Vice-Chancellor)

The interviewer began by holding interviews at Institution A. She interviewed the Deputy Vice Chancellor. The reason for involving him in the study was because he is part of the top management team at the institution. The top management team are the drivers of institutional vision and strategic goals, and they need the human capital to achieve these goals. The researcher sought to determine what his perception of the HRM function was and whether he viewed HRM as part of the top management team.

4.3.1 Interview Question 1: What is your perception of the function of HRM at your institution?

TABLE 5.18: RESPONSES AND THEMES IDENTIFIED (QUESTION 1)

DEPUTY VICE-CHANCELLOR	**IDENTIFIED THEMES**
1. Between the last three executive directors of HR, Dave van Heerden, Khotso Rakoto and Meyer, we have been going through the age-old story of trying to decide whether UCT needs what they called strategic HR or transactional HR. Lamagamangawafunda (*I have learnt these words*). I haven't understood what it was about, but I think I understand it now. And that is what began to get us interested and excited because strategic HR is really, as you know, about being a strategic partner of an organisation. Our HR is devolved, so it's not all in this building. About half of our staff are, in fact, embedded in the faculties, the departments, the research units. They have offices there. They live there, and these are the people we call HR practitioners; they used to be called HR advisers. There are two kinds of HR. You can either have the transactional, *just-business, 'doer'* type of HR where uzomfowunela lo ohlala la (*you will phone the one staying*) down the corridor. There is one HR practitioner who will simply go to the book shelf and pull out the policy book athi ithi ipolicy bekufanele nenzekanje (*and say the policy says you were supposed to do this*). There is another who is more strategic othatha umsebenzi wakhe (*who takes his job*) as empowering	**Strategic partner** **Strategic versus transactional HR.** **Decentralisation of HRM functions.**

TABLE 5.18: RESPONSES AND THEMES IDENTIFIED (QUESTION 1) (CONT'D.)

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
all line managers down that corridor ukuthi izinto ezinjena (*that things like this*) they shouldn't happen in the first place because they ought to know what the risk to the university is if you cut corners. But right now, I think the answer to your question is i-perception ye (*the perception* of) HR is on the rise, and it is moving towards the strategic HR, rather than the transactional.	

Theme 1: Strategic versus transactional HRM.

The interviews indicated that the management of the institution had a debate as to whether to maintain the status quo of HRM or to change it. It was decided that HRM should change to strategic. As a result of this decision, there was little improvement, and although HRM had not yet reached a stage where it was fully perceived as a strategic partner, it was slowly getting there. HRM needs to apply all its strength and resources by ensuring that its members of staff are equipped to perform at a required level to meet the expectations of everyone in the institution.

Theme 2: Decentralisation of HRM functions.

Since HRM had now changed from transactional to a strategic partner of the institution, it was then decided to decentralise the HRM functions, which meant that faculties, departments and units were provided with strategic partners, who were situated in their surroundings, to enable them to get prompt assistance regarding HR issues. This indicated that instead of waiting for the assistance from the central HRM department, the HR clients could receive prompt assistance in their locality.

4.3.2 Interview Question 2: How do you think HR, as a whole, was viewed by the faculties, departments and units, prior to the introduction of the new HRM Executive Director?

TABLE 5.19: RESPONSES AND THEMES IDENTIFIED (QUESTION 2).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
HR was in that position; it was probably the most hated department in the university. Their reputation was down there, there were jokes about HR, it was just a bad situation, and so the staff had very low morale bebengezi emsebenzini and kuyinqushunqushu *(they were not coming to work and it was chaos*). I mean, just from my position, even before I took over HR as a reporting line, from other aspects of my portfolio, I did so many grievance procedures, so many disciplinary procedures uzamukuhlanganisa abantu sebexabene bengathandani (*trying to unite people after they were hating each other*) there was racism, there was everything. Kanti (*only to find*), it is a measure of the lack of self-pride you feel when you are the dog of the whole university, where there are jokes about you uthi nxa musukungiphatha njengo muntu wakwa (*saying don't treat me like an HR person*) HR, nakhona uthethisa om unyu umuntu (*scolding another person*). HR was viewed very badly and this also affected their morale. There were so many grievances as well as disciplinary actions.	**Human capital issues.** **Reputation of the HRM department.**

Theme 2: Reputation of the HRM department.

The interviews demonstrated that HR was the most hated department. There were some internal issues affecting the department. These caused a huge turmoil within the department and also negatively impacted the staff members' morale. Consequently, the department's productivity was negatively affected. This led to labour-related processes being implemented. Perhaps this situation might have been caused by the fact that HRM was or is still viewed as an insignificant administrative role, with no visible contribution to the institutional goals, as the respondent referred to it, at some point in the interview, as: "the old HR having been stuck in just doing business routine because it must".

4.3.3 Interview Question 3: What would you say is the role of the HRM function at your institution?

TABLE 5.20: RESPONSES AND THEMES IDENTIFIED (QUESTION 3).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
But also, she sits on the body above SLG, which is VCMAG, Vice Chancellor's Management Advisory Group, that's the people who run the university. Mirriam sits on VCMAG as well, so the short answer to your question is that Senior Management of HR fully embedded Senior Leadership at this institution.	**HR Manager is a member of Senior Leadership Group.**

Theme 3: HR Manager is a member of Senior Leadership Group.

The interviews revealed that HRM was fully entrenched Senior Leadership of the institution, meaning that HRM played a leadership role at this institution. Therefore, as a strategic leader, HRM was expected to guide others within the institution, with regard to human capital issues. This would have also required the HRM Executive to ensure that her staff members were fully supporting her to achieve the institutional goals.

4.3.4 Interview Question 4: How involved is the HRM Executive in top management decision-making? (For instance, in strategic goals formulation).

TABLE 5.21: RESPONSES AND THEMES IDENTIFIED (QUESTION 4)

DEPUTY VICE CHANCELLOR	IDENTIFIED THEMES
Besides belonging in various leadership groups of the institution, the Executive Director is a member of a group known as Vice Chancellor's Management Advisory Group, which runs the university. This comprises all the deans, executive directors, DVC's and the Vice Chancellor. It means that she is involved in the formulation of the strategic goals of the institution and is a strategic leader.	**The HRM Executive is a member of the top management team.**

Theme 4: The HRM Executive is a member of top management team.

The interview findings revealed that the HRM Executive was a member of the Vice Chancellor's Management Advisory Group, which ran the university. As a member of

top management, she was involved in decision-making, as well as formulating the institutional strategic goals on which her department, other departments and faculty goals were based.

4.3.5 Interview Question 5: Do you see HRM as the eyes and ears of top management, for instance, with regard to changes taking place in the global market? (For example, the introduction of new technology).

TABLE 5.22: RESPONSES AND THEMES IDENTIFIED (QUESTION 5).

DEPUTY VICE-CHANCELLOR	**IDENTIFIED THEMES**
Absolutely, the name of this group of about 15 is Vice Chancellor's Management Advisory Committee. The very name VCMAG means everybody who sits there advises the CEO on everything, so for instance, it's a way that the VC uses not to take decisions on his own although he can, he is personally liable to council, accountable to council, but in a well governed place, he takes decisions amongst a group. It is what you might call the kitchen cabinet. Although a Prime Minister has abantu bakhe (*his own people*), the VC has Finance, HR, Communications and Marketing Directors as his own people. So they must also be the eyes and ears of our admissions policy and its use of race as a measure of disadvantage. We depend on Gert Kruger, the Head of Communications and Marketing, to tell us what's out there, amaletters (*letters*) to the Editor athini (what *are they saying*) in response to this article, and should we respond, and if so, we must watch out ukuthi (*that*) iWits i-respondile (*has responded)* on their own issue and bathini bona so (*what are they* saying) its all very strategic advice.	**VCMAG members are advisers to the CEO.** **Strategic advisor in human capital issues.**

Theme 5: VCMAG members are advisers to the CEO.

The interview demonstrated that everybody sitting on VCMAG provided advice to the VC, and so the HRM Executive Director served as the eyes and ears of VCMAG. Being a strategic advisor was a most crucial task that needed to be handled with caution, since whatever advice she provided would either have a positive or negative impact on the employees, as well as the organisation at large.

Theme 6: Strategic advisor in human capital issues.

As a member of VCMAG, HRM provided strategic advice to the VC on human capital issues.

4.3.6 Interview Question 6: Do you think the perception has now changed?

TABLE 5.23: RESPONSES AND THEMES IDENTIFIED (QUESTION 6).

DEPUTY VICE-CHANCELLOR	**IDENTIFIED THEMES.**
A quick word njena (*Like this)* just for the record to summarise, ukuthi (*to say)* the rate we are moving towards is one where we do a lot of things more effectively, with more modernity, taking on board new thinking. So we are trying to change from hiring to talent management, which is a holistic attitude ukuthi abantu bethu sifuna babe uhlobo oluthile (*that we want our people to be a particular kind*) even before bezosebenza e-UCT (*they work at UCT).* So we are beginning to interest our students in jobs at UCT. We never used to do that before ukuthi (*that),* we are in the business of turning out excellence in the form of our graduates. We are looking to say ake siyeke lendaba (*let us leave this issue*) of linking performance with pay. Amarewards awabe (*rewards should be*) separate, for their own good, and performance management, which is a good thing, is best practice, is just good habit. We must do it in a different way, that's all. So, more or less, mina (*I*), as her boss, I am very happy with her. Don't tell her that, but you can actually. So, now we want to close the loop izinto zonke (*in all things*), that's all. So, more or less, mina (*I*), as her boss, I am very happy with her.	**Changes** **Effectivity** **Changing attitudes**

Theme 7: Effectivity.

The interviews indicated that there were some changes taking place, within the institution, in the manner things were done. The changes led to things done effectively with good results, after the employment of the HRM Executive Director.

Theme 8: Changing attitudes

Typically, in situations where the service delivery was initially poor, the improvements are easily noticeable, and this results in clients eventually changing their attitudes towards the service provider. Similarly, there were some noticeable improvements in the service provided by the HRM department, hence some of the employees had started to change their attitude towards the HRM department.

4.4 Institution A (HRM Executive Director).

The second participant was the Executive Director of the HRM department, who was responsible for the human capital component of the institution, as well as ensuring that this department performed as required to achieve its strategic goals and the institutional strategic goals.

4.4.1 Interview Question 1: Do you think the perception has now changed?

TABLE 5.24: RESPONSES OF THE HRM EXECUTIVE DIRECTOR AND THEMES IDENTIFIED (QUESTION 1).

HRM EXECUTIVE DIRECTOR	IDENTIFIED THEMES
We do reviews as per your questionnaire, and please add we do reviews on our policies regularly. We do reviews of practices and certain functions. What we have not done is run an evaluation of the annual evaluation of the HR service to the university. Something we want to do going forward, in terms of service delivery, but we are very much a department that have had to address some key issues. There were gaps that we were having in OD function, so we are stabilising the service and then, as we look at the improvements, we will evaluate across and put a regular monitoring and evaluation mechanism in place. There was an institutional review of the HRM department service offered as a whole, done in 2010, and so there were commendations and recommendations made. We are very much working on that basis for the last three years, but now we are moving into that next phase so we want to do it, but we	**Assessment of HRM..** **Service provided** **Inadequate service delivery.** **Institutional audit by HEQC** **Intention of HRM department**

TABLE 5.24: RESPONSES OF THE HR EXECUTIVE DIRECTOR AND THEMES

IDENTIFIED (QUESTION 1) (CONT'D.).

HRM EXECUTIVE DIRECTOR	IDENTIFIED THEMES
haven't done it yet. But we have done a lot of work to assess various areas and to improve the service and build on it and put other areas in place that we didn't have before. It also means finding money, and all that's taking the necessary time.	

Theme 1: Assessment of HRM.

The interviews indicated that the institution did not participate in any assessment of HRM as a whole. However, when comparing the interview findings to the questionnaire responses, in which the respondents indicated that the HRM functions were evaluated to a large extent, there was an inconsistency in their responses. For HRM department to provide excellent service, it needs to evaluate its service delivery to determine gaps and apply corrective measures, as well as providing training and development to prove its staff members' performance. It must also put regular monitoring and evaluation mechanisms in place.

Theme 2: Inadequate service delivery.

The study showed that lack of assessment had a negative effect on the service delivery of the department. The HRM department provided inadequate service to its internal clients, since it could not assess the effectiveness of its service delivery and apply corrective mechanisms.

Theme 3: Institutional audit by HEQC.

The finding revealed that there was an institutional audit by HEQC which took place in 2010. Although this audit took place, there were no steps taken with regard to the results of the audit, to make improvements where necessary, or follow-ups in that regard. This was the only audit that took place, and was never repeated. It was a national requirement by the HEQC, and not an initiative by the institutions. Hence, the problem of the inadequate service is still in existence.

Theme 4: Intention of the HRM department.

The HRM department's intention was for the past three years to work on the basis of recommendations of the 2010 audit, but had not done it yet. They had done a lot of work to assess various areas and to improve the service and put new mechanisms in place, but this is hindered by lack of resources.

4.4.2 Interview Question 2: As an Executive Director of HR, how do you think management perceives HR, as a whole, in this institution?

TABLE 5.25: RESPONSES OF THE HR EXECUTIVE DIRECTOR AND THEMES IDENTIFIED (QUESTION 2).

HRM EXECUTIVE DIRECTOR,	**IDENTIFIED THEMES.**
So, there is a mixed perception and I think it has to do with mixed expectations, mixed understanding of what HR is there to do, and how it can serve the university. And it's also based on the experiences of the service and so some people view it as the old personnel function where it's kind of paper and process driven. And others expect far more. Some expect strategic partnering and they don't do anything without partnering with HR. I also think, as I was saying, I think it has to do with people's mixed experiences, because sometimes one thinks not all clients know what they can expect from HR. So, where they have had a strategic experience of HR, they tend to ask for more and more of it, and they don't only see HR as paying people and capturing leave and so forth. So, the offering that we provide at the moment is mixed. There are pockets of HR and individuals in HR who are strategic partners, and there are people whom we are developing their capability and capacity to come up to that level.	**Conflicting opinions.** **Service provided by HRM.** **Development of HR staff capacity.**

Theme 2: Conflicting opinions.

The interviews demonstrated that management had conflicting opinions of HRM, and they did not understand the intention of HRM and how it could assist the institution.

Theme 3: Service provided by HRM.

The study indicated that management's perception of HRM was dependent on the service provided by the HRM department. When they experienced inadequate service from HRM department, HRM was perceived negatively, but if the service was satisfactory, then management's perception was positive. This implies that HRM department's performance was not always consistent, this is why management's perception regarding HR's service to the institution was inconsistent.

Theme 4: Development of HR staff capacity.

The study revealed that some HR staff were undergoing training to develop their capacity to perform to the required level. The reason for this might be that the HR staff were not well equipped to perform their duties since the HRM transition was fairly new. As such, it was necessary for them to be trained in order to perform their tasks to the best of their abilities, and meet management's expectations.

4.4.3 Interview Question 3: But when top management wants to formulate their goals, do they involve you in decision-making?

TABLE 5.26: RESPONSES OF THE HR EXECUTIVE DIRECTOR AND THEMES IDENTIFIED (QUESTION 3).

HRM EXECUTIVE DIRECTOR.	**IDENTIFIED THEMES**
The Executive Director of HR's position is part of the executive at UCT. Also, we have something called the Senior Leadership Group, the EDHR is one of many Executive Directors on that and we would participate in the formulation of goals. And we also sit on the Vice Chancellor Management Advisory Group in which not all Executive Directors sit, (VC's Management Advisory Groups).	**Strategic partner.**

Theme 5: Strategic Partner.

The interviews revealed that, the HRM Executive Director as a member of the institution's management team, she was also involved in the institution's strategic planning. This was because the realisation of the organisation's strategic goals was dependent on

the human factor, to carry out the activities leading to that, and since the Executive Director was responsible for the human capital component of the institution, she had to be part of the decision-making.

4.5 Institution A (HR Staff Members).

The third, fourth and fifth respondents were senior HR practitioners, who were responsible for the recruitment and selection, performance management, training and development, compensation, and employee relations functions. They had first-hand information of what is involved in these functions.

4.5.1 Interview Question 4: With the recruitment function, how is it evaluated?

TABLE 5.27: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 4).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
We haven't had a formal evaluation since I have been here. But we do get client feedback informally, because we have two recruitment centres. The one is client advisers or recruitment advisers, and then we have the administrators, that's the post's name. And the client advisers or the recruitment advisers sit with the clients when they actually fill the position and when they give feedback. And we also have a manager of that specific area and feedback is given to her in terms of their experience, and we get a lot of informal feedback. People will send emails to say thank you for the excellent service and we act on that. When we get people that are not satisfied with the service, we act on that as well to say this is the feedback we got and then we feedback to a bigger team and say okay this is the feedback we got its more informal system.	**Assessment of the recruitment function..** **Informal feedback**

Theme 1: Assessment of the recruitment function.

According to the interview findings, there were no assessments of the recruitment function taking place. Considering what the HRM Executive Director had mentioned earlier

in the interview that: “what we have not done is run an annual evaluation of the HR service to the university”, it makes sense that this function was not assessed. It could not have been evaluated, while the rest of the HRM functions were not. The fact that they were receiving informal feedback could not have improved the situation. Informal feedbacks are sometimes biased; hence they are not taken seriously. However, the questionnaire responses say the opposite to the interview findings regarding the evaluation of this function.

4.5.2 Interview Question 5**:** Do you evaluate performance management?

TABLE 5.28: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 5).

SENIOR HR PRACTITIONERS	**IDENTIFIED THEMES**
Well, not formally, so it’s not a formal assessment, it’s also more informal. So we don’t have serviceable agreements in place for all our external clients. And we are in the process of setting up internally and will target externally, and part of that will also serve as an on-going evaluation process.	**Assessment of the performance management function.**

Theme 2: Assessment of the performance management function.

The interview findings demonstrated that there was no mechanism in place to assess the function, and as such, performance management was not assessed. However, the HRM department was in the process of developing mechanisms to carry out the assessment. When comparing the interview findings to the questionnaire responses in which the same respondents indicated that this function was evaluated, there was a discrepancy in these responses. This does not make any sense since the mechanism for evaluating this function was still being developed. However, the evaluation of the performance management function is very critical, since it identifies concealed gaps in the function, which could be improved by applying remedial measures to maintain its effectiveness. Similarly, it would also make it possible for both the manager and the employee to identify gaps in the employees’ performance, to apply corrective measures.

4.5.3 Interview Question 6: Do you evaluate the compensation function?

TABLE 5.29: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 6).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
It is the same thing, like other functions.	**Assessment of the compensation function**

Theme 3: Assessment of the compensation function.

The interview findings demonstrated that, since the HRM service to the institution was not assessed at this institution, so was the compensation function. Compensation forms a large component of the organisational budget and its effectiveness is very significant. The questionnaire responses revealed that this function was evaluated, which contradicts the interview findings. As such, to maintain its effectiveness, it requires regular assessment, in order to apply remedial measures.

4.5.4 Interview Question 7: How do you determine your annual salary increase? If discussed at a meeting, which stakeholders are present?

TABLE 5.30: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 7).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
The management negotiating team, which includes the HR Executive Director, Finance Manager and Employee Relations Manager, gets the mandate from MANCOM to negotiate with the unions.	**Management negotiating team**

Theme 4: Management negotiating team.

The interview findings revealed that MANCOM gave mandate to the management negotiating team, which included the HRM Executive Director, the Employee Relations Manager, as well as the Finance Manager, to negotiate with unions.

4.5.5 Interview Question 8: In the case of promotions, how are salaries determined?

TABLE 5.31: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 8).

SENIOR HRM PRACTITIONERS.	IDENTIFIED THEMES
The Faculty Promotion and Remuneration committee, which comprises the Dean, DVC, two outside Deans and other members, as determined by the faculty board, make recommendations on the ad hominem promotions to the Vice Chancellor. The staff should be confirmed before applying for promotion and the proposal must be based on the achievements of the standard academic salary package criteria obtained after the appointment of the staff member. This only applies to academic staff. There are no promotions for non-academic staff.	**Ad hominem policy for academic staff.** **Promotions**

Theme 5: Ad hominem policy for academic staff.

Promotions were only done for academic staff, based on the ad hominem policy, especially for confirmed permanent staff. The Faculty Promotions and Remunerations committee made recommendations to the Vice Chancellor, and the proposal was based on the achievements of the standard academic salary package criteria.

Theme 6: Promotions.

There were no promotions for non- academic staff (administrative and technical staff).

4.5.6 Interview Question 9: Is the training and development function evaluated?

TABLE 5.32: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 9).

SENIOR HRM PRACTITIONERS.	IDENTIFIED THEMES
It is an on-going evaluation and we do needs-assessments on a yearly basis to determine what courses we are going to provide next year. So, we are just going through that process and we formally engage with all	**Assessment of the training and**

TABLE 5.32: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 9) (CONT'D.).

SENIOR HRM PRACTITIONERS.	IDENTIFIED THEMES
the executive directors and other people in the system to find out what are their needs. And then, we basically structure around the needs that are informally fed up to the SETA's.	**development function.**

Theme 7: Assessment of the training and development function.

The study revealed that the evaluations that took place were for assessing the employees' training and developmental needs and not the assessment referred to in this study, namely, the evaluation of the function's effectiveness that required corrective measures to be taken, if it was necessary, based on the evaluation findings. This shows that this function was never evaluated. However, the questionnaire findings provided a contradictory response indicating that this function was evaluated.

4.5.7 Interview Question 10: What systems do you have for training and development?

TABLE 5.33: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 10).

SENIOR HRM PRACTITIONERS.	IDENTIFIED THEMES
We have both internal and external courses. On the internal side, we have courses on soft skills, but also courses on IT and on research for new academics entering the university. But then, if that is not enough and part of the development plan requires them to either attend courses or seminars, then they can also apply to do that and we do allow that from the university side.	**Internal and external training courses.**

Theme 8: Internal and external training courses.

The interviews demonstrated that there were both external and external courses available for staff members to choose from. They were able to choose whether to be trained internally or externally. It is, therefore, crucial that there should be training and devel-

opment systems in place to remedy all the performance-related problems, to enable the institution to meet its strategic goals.

4.5.8 Interview Question 11: Do you have different training for different levels of positions?

TABLE 5.34: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 11).

SENIOR HRM PRACTITIONERS.	**IDENTIFIED THEMES**
It's more per position available so, for instance, we do have courses for lower level people. We do training for computer literacy for our very lower level of the organisation. But, the rest usually cuts across the different levels. So, it's not for specific pay classes or for junior lecturers or lecturers. The generic courses cut across those. But then, if there is a job specific training, and the person needs to do it, we then usually send them for courses outside the university. So it's more job-specific than level-specific.	**Generic courses for all levels.**

Theme 9: Generic courses for all levels.

The institution itself offered generic courses that cut across different levels, and which were not level-specific. They also provided courses for the lower level positions, for instance, computer literacy. Candidates were sent outside the university, for training if there was a need for job-specific training.

4.5.9 Interview Question 12: Do you evaluate the selection function at your institution?

TABLE 5.35: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 12)..

SENIOR HR PRACTITIONERS	**IDENTIFIED THEMES**
Alright, it is the same recruitment and selection, yeah it's one function. Recruitment and selection are one area, then appointments is Morgan's.	**Assessment of selection**

TABLE 5.35: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 12) (CONT'D.).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
area. It is a separate area but they do work together. Again, there are a lot of informal feedbacks you find, in the system, people don't keep quiet if they are not happy, so they give us a lot of feedback.	**function**

Theme 10: Assessment of the selection function.

The interviews demonstrated that the selection function was not evaluated, since it was not a separate function from recruitment. This was normally referred to as the recruitment and selection function. Since the HRM function was not assessed as a whole, this means that the recruitment and selection function was not evaluated. However, the questionnaire responses show that the function was evaluated, which was not the case based on the interview findings. It should be noted that the evaluation of this function plays an important role in its effectiveness, as it exposes concealed gaps that could be remedied. As such, it is advisable that this function should be evaluated.

4.5.10 Interview Question 13: What processes and procedures are in place to ensure that the function was in line with legal requirements?

TABLE 5.36: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 13).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
From recruitment and selection we do have employee representatives on each of the panels obviously. We conform to the legislation in terms of our processes. But we also have an employment equity representative on each of the committees. So, they are part-and-parcel of the committee, and if there is anything that feel there is unfairness to the process, they can flag it either to our office here or also to the ombudsman to say it's an ambit yes. It's an ambit and transformation services. So they can flag it, anything	**Employment equity.**

TABLE 5.36: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 13) (CONT'D.).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
that can actually hold the process if they feel there is unfair discrimination in the process.	

Theme 11: Employment equity.

The interview findings revealed that the HRM department adapted its processes in relation to the labour legislation. The employment equity representatives, as well as the employee representatives formed part of the panel members of each of the HRM committees. To ensure that fairness was maintained in their processes and procedures. For instance, if one of the parties felt that there was an unfair labour practices in the processes, it would immediately be nipped in the bud to avoid costly law suits for the institution. In addition to that, staff members were also advised to familiarise themselves with these policies and procedures in order to apply them in their processes.

4.5.11 Interview Question 14: Do you evaluate the industrial relations function?

TABLE 5.37: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 14).

SENIOR HR PRACTITIONERS	IDENTIFIED THEMES
We do no formal evaluation, but we get informal feedback and sometimes formal feedback, depending on how aggrieved the person is. But I think what we are currently involved in, in HR, is that we are doing a lot of policy reviews, so one of the key policies we are currently reviewing is academic disciplinary and grievance processes. That is currently available as part of a policy review project, across human resources, which touches every single functional or specialist area. Employee Relations is on that suite of policies, which are being reviewed.	**Assessment of the industrial relations function.** **Policy reviews.**

Theme 12: Assessment of the industrial relations function.

According to the interview findings, the industrial relations function was not assessed; the only assessment that took place was of the institution's policies, caused by the constant changes taking place in the labour legislation, and forcing institutions to align their policies with the labour legislation. However, reviewing the policies alone does not contribute to the effectiveness of the industrial relations function itself. The department should have taken a holistic approach by evaluating the industrial relations function, including the policy, in order to maintain its effectiveness. The questionnaire responses gave a different impression, because they revealed that this function was assessed.

4.5.12 Interview Question 15: What have you done to ensure you have proper industrial relations processes and procedures in place?

TABLE 5.38: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 15.)

SENIOR HRM PRACTITIONERS.	**IDENTIFIED THEMES**
There are policies and procedures in place and we are doing a lot of policy reviews. So, one of the key policies we are currently reviewing is academic disciplinary and grievance processes. Employee Relations is on that suite of policies which are being reviewed. We also have unions, which represent our employees. We also have an Employee Relations Manager, whose main responsibility is to look into employee relations-related issues.	**Policies and procedures.** **Unions** **Employee Relations.**

Theme 13: Policies and procedures.

The interviews revealed that there were policies and procedures in place that guided the employees. These policies and procedures were regularly reviewed to ensure that they were in line with the legislation.

Theme 14: Unions

The interview findings revealed that there were also unions in place that represented the employees within the institution.

Theme 15: Employee relations.

The study also revealed that an Employee Relations (ER) Manager that was appointed to oversee the employee relations matters. The ER manager should ensure that everyone in the institution is familiar with these policies and procedures.

4.5.13 Interview Question 16: How do you handle your grievance processes?

TABLE 5.39: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 16).

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
We are governed by the policy. We've got a three-stage process in terms of grievances. Stage one is an informal phase. The HR practitioner facilitates an open dialogue between the aggrieved and the aggriever. The purpose is almost to conciliate the matter and try and find the appropriate way out of the argument. If stage one is not resolved, then they escalate to stage two, which is a formal grievance and is heard by a chairperson, who is the next line of reporting and is the most senior of the two. If it is the HR structure, and if it is between the HR practitioner and the HR client services manager, I would, in my capacity as oversight manager, then be the chairperson for that grievance. Furthermore, the grievance process is not a punitive result but, in turn, is that it has a remedial outcome in order to ease tension. Should there be no results in stage two, then it gets referred to stage three. Stage three would then result in the next line of management, so it could also become the Vice Chancellor who presides over a stage three grievance. And we have all those policies on the web if you want to look at them, like the across the functional areas. And there is also an appeal, and if the stage three does not work, the appeal is heard by the Registrar.	**Policy** **Three-stage process.**

Theme 16: Policy

The interviews demonstrated that the process for handling the grievance at this institution was outlined in the policy.

Theme 17: Three-stage process.

The study also revealed that there was a three-stage process available at this institution that were also outlined in the labour legislation and applied by most organisations. The first phase was informal and chaired by the HR practitioner. If the matter was not solved, it was moved to the second formal phase, presided by the next in line of reporting. Should the matter remain unresolved, it would be then move to the third and final phase, presided by the Vice Chancellor. It is essential for management and all the employees within the institution to be work-shopped in this regard, as well as familiarising themselves with these processes and procedures in order for them to properly apply them when handling grievances.

4.5.14 Interview Question 17: How do you ensure that employees are aware of the grievance procedures available in your institution?

TABLE 5.40: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 17).

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
It is on the internet, on the intranet as well as through the union structures, any changes that we make we've got to consult.	**Websites and intranet.**

Theme 18: Website and intranet.

The interviews demonstrated that employees were notified through the intranet, and that grievance procedures are posted on the institution's website. The information was also disseminated through the union representatives. Besides the notification through intranet, I think there should also be different awareness programmes, such as the induction of new employees, road shows, announcements in the institutional or departmental

meetings, as well as workshops, at which these policies and procedures would be presented.

4.5.15 Interview Question 18: What are the most frequently used communication channels for disseminating information regarding disciplinary codes/ procedures?

TABLE 5.41: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 18).

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
It is through the unions, emails and website.	**Communication**

Theme 19: The communication through unions and emails.

The interview findings revealed that unions and emails were the most frequently used communication channels for disseminating information within the institution. I would also suggest notice boards and newsletters, in addition to unions and emails, to enable employees who are not at their workstations to receive the information, or even those whose jobs require them to move from one place to another (e.g. manual labour, compass control).

4.3.16 Interview Question 19: How long do you keep the records of the disciplinary action against the employee in the file?

TABLE 5.42: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 19).

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
Well, in that instance, no, it is kept on your personal file. So it's going to remain on file for reference if there is a repeat offence. It takes this notion of verifying so, if there is no official file, if line managers choose to keep the record for their departmental use, well that is their prerogative.	**The record of disciplinary action**

Theme 20: The record of disciplinary action.

The interviews demonstrated that the disciplinary action record remained in the employee's file for reference, in case there was a repeat offence, and that it was the manager's right to do so. It is important that the employee is provided with a copy of the record and which bears the signatures of both the employee and the Head of Department.

4.5.17 Interview Question 20: What are the categories of warnings and their durations?

TABLE 5.43: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 20).

SENIOR HRM PRACTITIONERS.	IDENTIFIED THEMES
An oral warning is valid for three months for minor misconduct, and no record is kept for this type of warning. A formal written warning is valid for no less than six months for serious misconduct or repeated cases. A final written warning, of course, is valid for no less than twelve months. So it's going to remain on file for reference if there is a repeat offence.	**Types of warnings.**

Theme 21: Types of warnings.

The interview findings indicated that there were three types of warnings, namely verbal, written and final written warning. These range between three and twelve months, and the warnings are kept in the employee's file for reference should there be a repeat offence. However, oral warnings should not form part of the employment record and should not be kept on the employee's personal file.

4.6 Institution B (Deputy Vice-Chancellor).

The first respondent at Institution B was a Deputy Vice Chancellor, and the reason for involving him in this study was because he formed part of the institution's top management team, who are the drivers of institutional vision and strategic goals. To achieve the institution's strategic goals, they needed human capital. The researcher wanted to establish his perception of the HRM function and whether he viewed HRM as part of the top management team.

4.6.1 Interview Question 1: What is your perception of the function of HRM at your institution?

TABLE 5.44: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 1).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
I believe HRM are trying their best under difficult circumstances to fulfil the HRM function. There are capacity constraints, both in terms of the number of staff, and the competency of certain staff to perform their function.	**Issues affecting HR.**

Theme 1: Issues affecting HR.

The interviews demonstrated that there were some issues affecting the HR staffs and preventing them from performing to the best of their ability (e.g. number of staff and their competences), no matter how much they tried to provide an acceptable service to the institution. Perhaps, this could have been caused by lack of HR staff development. Hence, HR staff development is necessary to improve the HR staff competencies to enable them to perform to a required level and meet the expectations of everyone within the institution.

4.6.2 Interview Question 2: How involved is the HRM Executive in top management decision-making? e.g, institutional strategic goals.

TABLE 5.45: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 2).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
The Executive Director of HR is a member of the executive management of the institution, and hence attends all executive management meetings and all institutional-level strategic planning meetings. However, he is the only member of the HRM management team that is involved in top management decision-making.	**HR Manager as part of the top management team.**

Theme 2: HR Manager as part of the top management team.

The interviews revealed that the HRM Executive Director was part of the top management team of the institution. Therefore, he was the only one from HRM department involved in decision-making, since he represented the human capital component of the institution, and institutions needed the human capital component to achieve their goals.

4.6.3 Interview Question 3: What would you say is the role of the HRM function at your institution?

TABLE 5.46: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 3).

TOP MANAGEMENT	IDENTIFIED THEMES
To provide management of and leadership for all HR-related matters.	**HRM's leadership role.**

Theme 3: HRM provides a leadership role.

The interviews indicated that HRM provided a leadership role at the institution, especially for all the human capital related issues. The HRM provided his team members with guidance concerning human resources related issues, and served as their advocate where necessary (e.g. when downsising is inevitable).

4.6.4 Interview Question 4: Do you see HRM as the eyes and ears of top management, for instance, with regard to changes taking place in the global market? (e.g. introduction of new technology).

TABLE 5.47: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 4)

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
I expect HRM to be the "eyes and ears" of top management in terms of policy, legislation and trends impacting on the core business of HRM (recruitment, selection, talent management, etc.). The impact of new technology will affect different fields of study and different	**Strategic advisor.**

TABLE 5.47: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 4) CONT'D

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
sectors of the market differently. I would look towards the academic leaders in these fields (Deans, Heads of Departments) to advise management appropriately on such matters.	

Theme 4: Strategic advisor.

The interview findings revealed that HRM was a member of the top management team. He served as the eyes and ears by providing strategic advice to his team, especially with regard to issues affecting the HR's main functions, while the Deans also provided advice in their respective areas. Being a strategic advisor is a key assignment that needs to be handled with caution, since providing flawed advice would have a negative impact on the employees, as well as the organisation at large.

4.6.5 Interview Question 5: How do you think HR, as a whole, was viewed by the faculties and other departments and units, prior to the introduction of the new Executive Director?

TABLE 5.48: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 5).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
Faculties have, for many years, harboured concerns regarding the service provided by the HR division and shared the view that the HR division lacked the capacity to deliver. The new Executive Director has introduced the "business partner" model. Thus far, faculties have not complained as much as they did in the past, but it is too early to make a determination on this matter.	**HR's service. Business partners.**

Theme 5: HR's service.

The interviews indicated that HRM department was regarded as providing sub-standard services by faculties and other departments. Although "faculties have not complained as much as they did in the past", this does not mean that the complaints have ceased, but rather that they have decreased. There are still those who regard the HRM department as providing sub-standard services, which stresses the fact that not everyone shares the same point of view and some are bound to differ.

Theme 6: Business partners.

The study revealed that the number of complaints was nolonger as high as they did before, after the introduction of business partners.

4.6.6 Interview Question 6: How did it affect the performance of the HRM department?

TABLE 5.49: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 6).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
I am not sure that the performance of the HRM department was affected by the views of the faculties.	**HRM department's performance.**

Theme 7: HRM department's performance.

The respondent was not sure that the complaints by the faculties and other departments regarding the HR services had an impact on the HRM department's performance. This could have been caused by the fact that there were no surveys conducted for that specific purpose.

4.6.7 Interview Question 7: Do you think the perception has now changed? If yes, what are the noticeable changes?

TABLE 5.50: RESPONSES OF TOP MANAGEMENT AND THEMES IDENTIFIED (QUESTION 7).

DEPUTY VICE-CHANCELLOR	IDENTIFIED THEMES
I think the perception may have changed, as there now appears to be greater cooperation between faculties and the HRM.	**Collaboration**

Theme 8: Collaboration.

The interviews demonstrated that the perception of the clients of HRM department had changed. One of the noticeable changes was the faculties working in collaboration with HRM, as well as the decrease in complaints mentioned earlier by the interviewee. This, perhaps, might have been caused by the employment of the new HRM Executive Director and the changes he implemented.

4.7 Institution B (Dean of the Faculty).

The second respondent in institution B was the Dean of the Faculty. The reason for his involvement in this study was because he was an HRM department's client. So, to achieve the faculty goals, he needed human resources. Acquiring them could only be achieved through the assistance of the HRM department. The researcher wanted to establish his perception of the services rendered by the HRM department.

4.7.1 Interview Question 1: What is your perception of the function of HRM at your institution?

TABLE 5.51: RESPONSES OF THE DEAN OF THE FACULTY AND THEMES IDENTIFIED (QUESTION 1).

DEAN	IDENTIFIED THEMES
HR plays a very important function in any organisation, and so at… the current Executive HRM Director has implemented a more effective, decentralised system by appointing HR Business Partners to faculties. At the moment, I have in my office an HR Business Partner who helps a lot to deal with HR matters. I can safely say that the HR services are improving. Therefore, my perception is good.	**Decentralisation**

Theme 1: Decentralisation.

The interviews demonstrated that, as a client of HRM and being middle management himself, the respondent had a positive perception of the HRM department. This could have been caused by the fact that some of the HR practitioners were deployed to the faculties and departments, and this made it possible for these faculties and departments to receive prompt services from the Business Partners.

4.7.2 Interview Question 2: What would you say is the role of the HRM function at your institution?

TABLE 5.52: RESPONSES OF THE DEAN OF THE FACULTY AND THEMES IDENTIFIED (QUESTION 2).

DEAN	IDENTIFIED THEMES
Recruitment and retention of staff, provisioning of HR services and HRM strategic direction for the institution.	**HR strategic leadership.**

Theme 2: HR strategic leadership.

The interviews indicated that the respondent viewed the HRM role, among others, as a strategic leader, providing guidance with regard to human capital issues. This could

have been as a result of the prompt services provided by the HR business partners based in the faculties.

4.7.3 Interview Question 3: Since your job is to assist top management with the running of the faculties, and since you are a client of the HRM department, how do you feel about the services rendered by the HRM department?

TABLE 5.53: RESPONSES OF THE DEAN OF THE FACULTY AND THEMES IDENTIFIED (QUESTION 3).

DEAN	IDENTIFIED THEMES
I feel the service of HR has improved from poor to good since the appointment of Mr Mabuza.	**HR service**

Theme 3: HR service.

The interviews demonstrated that the HR service had improved as a result of the appointment of the HRM Executive Director and the changes he brought, especially the business partners based in the faculties. They speedily attended to all the faculties' needs.

4.8 Institution B (Acting HRM Director).

Since institution B had no permanent HRM Director at the time of this interview, the researcher asked the then Acting Director for a permission to interview her and she agreed. The reason for her involvement in this study was because, in her capacity as an Acting HRM Director, she was responsible for the human capital component of the institution, ensuring that this department performed as required to achieve its strategic goals, as well as the institutional strategic goals.

4.8.1 Interview Question 1: Do you evaluate the performance of the HRM department regularly?

TABLE 5.54: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 1).

ACTING HRM DIRECTOR	IDENTIFIED THEMES
I won't say that it's something that happens regularly. I think the last time that we did that, it was as part of the institution's audit, which took place. Well, it looked at all the departments. That's not something which is regular.	**Assessment of HRM.** **Institutional audit by HEQC.**

Theme 1: Assessment of HRM.

The interviews demonstrated that there were no assessments of HRM as a whole. This might have been the reason why the initial respondent had indicated, in his interview, that "HR staffs were trying their best under difficult circumstances to fulfil the HRM function". Had they conducted the assessment of the HRM function, they would have nipped the problems in the bud.

Theme 2: Institutional audit by HEQC.

The study revealed that the only evaluation that took place was the nation-wide institutional audit by HEQC in 2010. But, there were no actions taken with regard to the results of the audit, to take corrective measures or a follow-up audit. HRM needs to evaluate its effectiveness in order to take corrective measures. However, the questionnaire responses gave a different view because they indicated that this function was evaluated. The improvement of the service would require staff members to acquire the necessary competencies to perform at the required level, through the appropriate training and development programmes.

4.8.2 Interview Question 2: How do you think management perceives HRM, as a whole, in this institution?

TABLE 5.55: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 2).

ACTING HRM DIRECTOR	IDENTIFIED THEMES
Human Resources is now definitely a strategic partner within the institution. So, we are here to provide strategic direction to our clients, the Deans, and to look at high level planning and thinking, not administrative work. So, it's around your strategy, around your people, your skills, your technology, your clients, your services that you provide. You know, it's around: where do you source your skills from; what kind of development you put in place; how do you retain and attract your staff. How do you allocate your budget; is it spent wisely on the right resources; do you have the right organography in place; does your structure speak to your budget, your general ledger; looking at your clients, what type of services do you offer; who are your clients; how do you improve your services. It's a range of different things that we have now introduced or are trying to embed within human resources. So, I think that it's not an admin process; it's now becoming a strategic business partner.	**Strategic partnership.** **Attract and retain staff.** **Service offered to clients.**

Theme 2: Strategic partnership.

The interviews have indicated that HRM was becoming a strategic partner at this institution. This was because they were now trying to improve the type of service offered to their clients, which was to provide strategic guidance, as far as human resources issues are concerned.

Theme 3: Attract and retain staff.

The study also revealed that as a strategic partner, HRM needed to have necessary strategies for attracting and retaining staff with the required competences, and ensure that they also have the necessary developmental mechanisms, financial resources and structures in place

Theme 4: Service offered to clients.

The interviews demonstrated that HRM was now trying to improve the service they offered to their clients. To improve the service would require staff members to acquire the necessary competencies to perform at the required level, through the appropriate training and development programmes. Since the strategic partnership was fairly new to the HR staff members, and most of them were still lacking the required competencies to fully carry out such tasks, they needed to undergo rigorous training to accomplish that.

4.8.3 Interview Question 3: During the time that you were Acting HRM Director, were you involved in decision-making?

TABLE 5.56: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 3).

ACTING HRM DIRECTOR	IDENTIFIED THEMES
No, not at that level. I was not given that status of being an executive. I was not an executive. I was ensuring that HRM functions, I was there to manage matters, but I was not represented at MANCOM or at executive meetings. Whatever had anything to do with HR matters, I would write to MANCOM and then they would discuss them without me being there. And they would not give me feedback unless they wanted me to clarify something. Then I would go to clarify that, and I would go out after I have clarified whatever they wanted me to. But I was never taken as an executive.	**Executive status.** **Administrative role.**

Theme 5: Executive status.

The interview indicated that, although the respondent was acting in the position of an HRM Director, she was never provided with the status of an executive. As such, she could not participate in decision-making.

Theme 6: Administrative role.

The study demonstrated that HRM was still perceived as an administrative role by management since this position was not yet upgraded to an Executive Director's position. If

there were any HR issues to be discussed at executive meetings the respondent would provide these issues in a form of documentation to MANCOM and they would be discussed during her absence and she was never provided with any form of feedback.

4.9 Institution B (HR Staff Members).

The fourth, fifth and sixth respondents were an HR practitioner and two HR Managers who were responsible for the recruitment and selection, performance management, training and development, compensation and employee relations functions. They had first-hand information as to what is involved in these functions.

4.9.1 Interview Question 4: How is your recruitment function evaluated?

TABLE 5.57: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 4).

HRM PRACTITIONER	IDENTIFIED THEMES
No, recruitment was reported to the Director and, because of the problem with leadership, we were actually functioning on our own, with no actual proper evaluations taking place. We have got our online e-recruitment system, where one can actually provide feedback on the recruitment function. This this system reports to check on productivity and efficiency of recruiters, but that information needs to be updated, and I think the lack of monitoring within the units caused this, you know, you can actually do that properly.	**Assessment of the recruitment function.** **Leadership** **Online e-recruitment system.**

Theme 7: Assessment of the recruitment function.

The interview findings revealed that the recruitment function was not evaluated at this institution. But when comparing the interview findings, with the performance assessment questionnaire findings by the same respondents, there is a discrepancy because they indicated that this function was evaluated.

Theme 8: Leadership.

The study demonstrated that there was a problem of lack of leadership at this institution, and it brought many problems for the department, a leader could have seen the necessity for evaluating HRM as a whole and establish its effectiveness. This would have resulted in all the assessment of HRM functions, as well as the updating of the monitoring system.

Theme 9: Online e-recruitment system.

The findings revealed that there was an online e-recruitment system for monitoring the recruitment staff. But this system had out-dated information, and could not be used.

4.9.2 Interview Question 5: Do you evaluate performance management?

TABLE 5.58: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 5).

HR MANAGER	IDENTIFIED THEMES
That is quite a challenging task. The university had only started this year again, to reintroduce performance management. And it is basically focusing on the philosophy and principles of performance management: What is performance management; why do we have to do it; how can we do it; what is the purpose and outcomes of performance management. And so, going forward, we are now hoping to drill down further into the lower levels or the next layer of managers, which is HOD'S and get them to understand what is the thinking around performance management. And for now, it is not coupled to any monetary value or reward, it is purely developmental. So, for us, monitoring and measuring human resources or human capital at the moment, it is a bit challenging, because we have just now started reintroducing it. So, to see the before and the after, it's a bit too premature now. Yeah, in terms of my stay, for now, I have been here for a year, there hasn't been any evaluation done or some impact analysis to see whether it's working or not. But with the implementation now only this year, you know, we can maybe say next year we can do a dipstick and	**Performance management.** **Development of HOD's.** **Assessment of performance management.**

TABLE 5.58: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 5) CONT'D.

HR MANAGER	IDENTIFIED THEMES
see what has worked and what is different; what is progress. But I'm not sure whether that was done previously. I don't think so	

Theme 10: Performance management.

The interviews demonstrated that performance management was newly introduced to the institution, with the employment of the new Learning and Development Manager, and hence the function was not evaluated.

Theme 11: Assessment of performance management.

The study revealed that the assessment of this function was found to be a bit challenging, since this function had just been recently introduced, and the system was still yet to be completed. This could also have been as a result of management lacking the capacity to perform the assessment of employee performance. As such, management needed to undergo training in order to know what they were expected to do. The questionnaire results also indicated that this function was not evaluated.

Theme 12: Development of HOD's.

The findings indicated that since performance management was fairly new to this institution, there was a need to develop HODs so that they could understand the purpose of performance management, as well as assessing employee performance.

4.9.3 Interview Question 6: Do you also deal with the compensation system? And if so, is the function evaluated?

TABLE 5.59: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 6).

HR MANAGER	IDENTIFIED THEMES
We have got a process of benchmarking our pay structures with other institutions. We subscribe to a company that does the comparison for us and you are able to get it at any time, depending on whether the information is updated. So we club into that as institutions, so we are able to see in terms of how we compare to the market in terms of, say, other institutions or other organisations. So we do evaluate that. We have to update the information every year, if you have your increases that were approved for that particular year. You have to update that system, that red channel, that comparison system, so that it could then reflect the current pay structure for that particular year.	**Benchmarking pay structures.** **Assessment of compensation system.**

Theme 13: Benchmarking pay structures.

The interviews demonstrated that the respondents benchmarked pay structures with other institutions, and the assessment was done on the comparison system. Benchmarking pay structures with other institutions was a component of the compensation process.

Theme 14: Assessment of compensation system.

The study revealed that the assessment that took place at this institution was not for the effectiveness of the compensation function itself. The assessment of this function would entail monitoring and assessment of the function against the needs of the organisation, the effectiveness of job analysis, and whether the results matched the set goals of the function etc. This implies that this function was not evaluated. Lack of assessment of this function could have been as a result of none evaluation of HRM as a whole. The

questionnaire findings revealed that this function was evaluated, which is contradictory to what actually happened.

4.9.4 Interview Question 7: How are annual increases decided upon, and if discussed at meetings, which stakeholders are present?

TABLE 5.60: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 7)

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
We have, what we call, substantive negotiations (salary negotiations) where the institution and the three unions negotiate on the annual increase for any particular year. This happens once a year, although the parties have multiple negotiating sessions. Once the parties reach an agreement on the increase, a collective agreement will be signed and the salary increase is effective as from January in that year. What's important to note is that the salary increase will be implemented if two of the unions have signed the agreement. Executive Management will mandate the HRM Director, ER Manager and two Deans to be available for salary negotiations and they will present the budget that they think is suitable for the staff.	**Mandate from Executive Management.** **Salary negotiations.**

Theme 15: Mandate from Executive Management.

The interview findings revealed that MANCOM gave a mandate to the management negotiating team, which included the Executive HRM Director, Employee Relations Manager, as well as two Faculty Deans, to negotiate with unions.

Theme 16: Salary negotiations.

The study revealed that the institution held annual salary negotiations to discuss annual salary increment, although parties had multiple negotiation sessions. The collective agreement would then be signed after the parties have reached an agreement on the increase. The increase would be effective from January of that year.

4.9.5. Interview Question 8: In the case of promotions, how are salaries determined?

TABLE 5.61: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 8).

SENIOR HRM PRACTITIONERS	IDENTIFIED THEMES
Academic promotions are based on the ad hominem policy. To be considered for an ad hominem promotion, the staff member should have had a permanent appointment at CPUT for a minimum of two years. Contract staffs, who have been appointed against a permanent post for a period of at least two years, may also be considered for an ad hominem promotion, especially in extraordinary circumstances. But there is no policy for non-academic staff. There is a new strategy from HR, when a person gets a promotion, he/she will be slotted at the 5% whether the he/she was at the top of his/her notch of his/her grade.	**Ad hominem policy for academic staff** **Policy for non-academic staff** **New strategy**

Theme 17: Ad hominem policy for academic staff.

The study revealed that initially, promotions were done for academic staff only, based on the ad hominem policy, especially for permanent staff members who had been in the employ of the institution for at least two years. However, they also considered contract staff who had worked for at least two years, in extraordinary circumstances, with the exclusion of non-academic staff.

Theme 18: Policy for non-academic staff.

The interview findings demonstrated that there was no policy for non-academic staff at this institution.

Theme 19: New strategy

The findings revealed that there was a new strategy that was later developed to cater for everybody, which stipulated that a promoted person would be placed at a 50th percentile even if he/she was at the top of his/her grade.

4.9.6 Interview Question 9: What about the training and development function, do you also evaluate it?

TABLE 5.62: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 9).

HR MANAGER	IDENTIFIED THEMES
It wasn't evaluated in the sense that we could track it to see the training that we have implemented this year, what progress or improvement there has been within that specific department or faculty. It wasn't done, or maybe some managers did it, but in a varied *ad hoc* manner. Where they did it, you know, it was done by ways of different tools that they use. We want to try and do a procedure where everyone is comfortable and familiar with the same way, or something that will work for them, to measure whether the training has made any difference.	**Assessment of the training and development function.** **Uniform process.**

Theme 20: Assessment of the training and development function.

The interview findings indicated that the training and development function was not assessed, like other HRM functions. But looking at the questionnaire responses provided by the same respondents, they revealed that this function was evaluated, which contradicts the interview findings. The training and development function is regarded as one of the significant functions that have an impact on the attainment of the organisational goals. So, to maintain its effectiveness, it needs to be regularly evaluated, to apply corrective measures where possible. As such, this function needs to be evaluated.

Theme 21: Uniform process.

The study also demonstrated that the department was trying to develop a uniform, easy process of evaluation for everyone, in case some managers might had done it using different instruments.

4.9.7 Interview Question 10: What form of training and development systems do you have in place for staff members?

TABLE 5.63: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 10)

HR MANAGER	IDENTIFIED THEMES
There are a lot of different types of programmes that the Learning and Development department has. The MIS courses are open to all staff members within the institution, where you get the external provider coming in to the institution to offer training. It usually covers most of the soft skills type of courses, and you know, the competences, writing skills and other type of training. And there are also external courses, where the staff member will send an application form to the Training Department for attending them and there is funding available for them. We have other short courses which are not offered by the Training and Development, and are offered by the GCM or the CCE Centre for Continued Education for Fundani Centre.	**Internal courses.** **External courses.** **Courses offered.**

Theme 22: Internal courses.

The interviews demonstrated that there was a variety of learning and development programmes. Internal courses were open to all staff members and were offered by external providers at the institution.

Theme 23: External courses.

The study also revealed that there were external courses in which employees registered with other institutions and were funded by the institution.

Theme 24: Courses offered.

The findings indicated that there were also courses offered internally by the staff members at the institution. This implies that staff members have a wide variety of training programmes to choose from. Therefore, it is necessary for the HOD's to be trained in order to understand the purpose of performance management and appropriately assess

staff performance, and for the HR employees who need training to perform at the required level.

4.9.8 Interview Question 11: Do you have different training for different levels of positions?

TABLE 5.64: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 11).

HR MANAGER	IDENTIFIED THEMES
There is different training for different levels, so we need to make sure that we customise training at all times for a particular need. So, when we do get a request, we look at who is the target audience, what is the purpose of training, what would the outcomes be. We try and consult with staff as well as the managers before we offer the training, so that we don't offer just the off-the-shelf training and it doesn't speak to the needs. So we, at all times, have a pre-discussion and needs analysis to identify exactly what is it that we need to focus on. So it's also different between academics and support staff.	**Customising training.** **Needs analysis.**

Theme 25: Customising training.

The interviews demonstrated that the department offered customised training for particular needs. When they received requests for training they provided training that was suitable for that particular group or individuals.

Theme 26: Needs analysis.

The study revealed that to provide customised training they required to conduct needs analysis prior to the commencement of training. This enabled them to identify what the training needed to focus on, since high level positions dealt with strategic issues, while lower levels dealt with operational issues, as such they required training relevant positions.

4.9.9 Interview Question 12: Do you evaluate the selection function?

TABLE 5.65: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 12).

HR PRACTITIONER	IDENTIFIED THEMES
We look at it as one continuous function, so it's recruitment and selection that we do. So, in recruitment, it is the advertising and we've got the shortlisting and we've got the interviews etc.	**Selection and recruitment.**

Theme 27: The selection and recruitment.

The interview findings revealed that selection was a continuous function together with recruitment, performed by the same person. This meant that it could not be assessed since recruitment was not. However, since this function is regarded as one of the significant functions that enable the organisation to acquire competent human resources that would assist it to achieve its strategic goals, its effectiveness is very critical, in that it needs to be constantly evaluated. Comparing the interview findings with the questionnaire responses, which indicated that this function was evaluated, there is inconsistency in the information provided by the same people.

4.9.10 Interview Question 13: What processes and procedures are in place to ensure that the recruitment and selection function is in line with legal requirements, like with the legislation?

TABLE 5.66: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 13).

HR PRACTITIONER	IDENTIFIED THEMES
We've got our policies and practices in place. We are busy reviewing the policy now though, because the policy is due for review. But I mean in terms of practices from the HR perspective. And we invite unions to attend the meetings, so we ensure compliance throughout the process in terms of the various Acts.	**Policies** **Union attendance.**

Theme 28: Policies.

The interviews revealed that there were policies, as well as mechanisms for reviewing these policies in place, to ensure that they complied with legal requirements. Besides having policies and procedures in place, staff members should also be advised to familiarise themselves with these policies and procedures in order to apply them in their processes.

Theme 29: Union attendance.

The findings demonstrated that unions were also allowed to attend meetings to ensure that decisions taken at these meetings were not biased.

4.9.11 Interview Question 14: Are the union representatives allowed to ask questions in the interview?

TABLE 5.67: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 14).

HRM PRACTITIONER	IDENTIFIED THEMES
The union is technically there to ensure fairness and to observe the process. They can ask questions, but they are not there in their decision-making capacity.	**Union presence**

Theme 30: Union presence.

The interviews demonstrated that the union presence was to ensure that decisions were taken with fairness. They were not, however, involved in decision-making. This also meant that litigation was prevented, saving the institution huge sums of money caused by unfair practices.

4.9.12 Interview Question 15: Do you evaluate industrial relations?

TABLE 5.68: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 15).

HR MANAGER	IDENTIFIED THEMES
Yes, as I have said, the evaluation of the function is currently done as a result of the quality audit.	**Assessment of industrial relations. Quality audit.**

Theme 31: Assessment of industrial relations.

The interview findings indicated that the evaluation of the industrial relations function was currently done due to the quality audit. It is noteworthy to state that this interview was conducted after the new HRM Executive Director was employed and implemented some changes in the HRM department to keep up with the new developments in the labour legislation. The questionnaire responses also revealed that this function was actually evaluated.

Theme 32: Quality audit.

The quality audit is the one that was initiated by the HEQC and took place in 2010. This is an indication that the evaluation of the industrial relations function resulted from the findings of the 2010 institutional audit.

4.9.13 Interview Question 16: What have you done to ensure that there are proper industrial relations processes and procedures in place?

TABLE 5.69: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 16).

HR MANAGER	IDENTIFIED THEMES
We have developed policies and procedures, and we have evaluated them accordingly to be in line with the legislation and also the current trends. So, we have got policies, we have got	**Policies and procedures.**

TABLE 5.69: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 16). CONT'D.

HR MANAGER	IDENTIFIED THEMES
processes or procedures within industrial relations. We have also appointed a manager who is looking after that. We've now got a Manager of Employee Relations.	**Appointment of Manager of Employee Relations.**

Theme 33: Policies and procedures.

The interview findings demonstrated that there were policies and procedures in place, and that these were regularly reviewed to keep up with the changes in the legislation.

Theme 34: Appointment of Manager of Employee Relations.

The study revealed that an Employee Relations Manager responsible for the function was appointed at this institution. The ER Manager must ensure that everyone in the institution is familiar with these policies and procedures.

4.9.14 Interview Question 17: So how do you handle your grievance processes?

TABLE 5.70: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 17).

HR MANAGER	IDENTIFIED THEMES
There is a proper policy and procedure in place for grievance and disciplinary procedures. There is a standard process that needs to be followed where maybe we would say that, if a staff member is aggrieved, these are the steps that this person must take because, before a grievance can be accepted as a grievance, there are steps that needed to have been taken, until then, it is a registered grievance. So, we've got a documented process in that regard, step-by-step, that tells you that this is the process that you have to take, step 1, step, 2, step 3. And with regard to that, the ownership is now starting to fall on the line	**Employee Relations policy and procedure.** **Grievance and disciplinary processes.**

TABLE 5.70: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 17) CONT'D.

HR MANAGER	IDENTIFIED THEMES
manager to run all the processes. Previously, it was always the Employee Relations department. Grievance goes via them; the disciplinary hearing goes via them and now, the onus is falling on the line manager.	

Theme 35: Employee Relations policy and procedure.

The interviews demonstrated that grievance processes were handled according to the steps outlined in the institution's Employee Relations policy and procedures

Theme 36: Grievance and disciplinary processes.

The study revealed that the ownership of handling both grievance and disciplinary processes was falling on line managers, and no longer on the Employee Relations department. As such, line managers were also compelled to familiarise themselves with these processes, hence, the needed to undergo training and development pertaining to the said processes and procedures. It is also crucial that these steps should be clearly spelt out to avoid confusion.

4.9.15 Interview Question 18: How do you ensure that employees are aware of the grievance procedures available in your institution?

TABLE 5.71: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 18).

HR MANAGER	IDENTIFIED THEMES
We do have an induction programme at CPUT where we would present all our policies in the induction of new staff. And we do that three times a year. We have a big one in the beginning, and the last one is also a big one, the middle one is just one day. The big one is three days of induction. We	**Awareness programmes.**

TABLE 5.71: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 18) CONT'D.

HR MANAGER	IDENTIFIED THEMES
would then talk about everything in the policies in that meeting. And also, we post all our policies, procedures and all forms of HR documentation on the website so that our internal staff can be able to view them. Also, we do road shows where we go to faculties; if there is a new policy, we go to faculties and present the policy. We also go to committees, statutory committees or non-statutory committees, where you would find a large number of HOD's or whoever, and then go and present that policy.	

Theme 37: Awareness programmes.

The interview findings revealed that there were various awareness programmes at which policies and procedures were presented. These included the induction of new staff members, posting policies and procedures on the institution's website, road shows, as well as committees, where there was a large number of HOD's or departmental representatives. This implies that employees were provided with a wide variety of choice that included accessing the policies and procedures through meetings, road shows or even the website if they wanted.

4.9.16 Interview Question 19: What are the frequently used communication channels for disseminating information regarding disciplinary codes or procedures?

TABLE 5.72: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 19)

HR MANAGER	IDENTIFIED THEMES
We post them on Newsflash. Any changes that are made are communicated via Newsflash to all the staff members. The message goes through to all staff members' emails.	**Newsflash**

Theme 38: Newsflash

The interviews demonstrated that the most frequently used channel of communication for disseminating information was Newsflash (intranet), whereby any information from the institution to the employees could be accessed. But taking into consideration that some employees have no access to computers, the best practice might be to use noticeboards, newsletters and union structures, in addition to emails, to enable them access the information.

4.9.17 Interview Question 20: How long do you keep the records of the disciplinary action against employees in their files?

TABLE 5.73: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 20).

HR MANAGER	IDENTIFIED THEMES
That's a difficult one. We keep the records in the file for a long time. For as long as we still have that file. But, we would maybe archive that file if the person has left the institution. But the disciplinary record stays in the file, even if the outcome of disciplinary was not dismissal. The document with regard to whatever sanction the person had, will sit in his/her file for as long as the person is still employed.	**Disciplinary record.**

Theme 39: For as long as the person is employed.

The interview findings demonstrated that records of disciplinary actions were kept in the employees' files for as long as they still worked for the institution. But for transparency sake, employees should also be provided with copies of the records, signed by both the employee and the line manager.

4.9.18 Interview Question 21: What are the categories of transgressions and their length of time?

TABLE 5.74: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 21).

HR MANAGER	IDENTIFIED THEMES
The categories include verbal warning, which lasts for three months, written warning – also three months and a final written warning, which lasts for nine months. Should you repeat a similar offence, we won't do anything else but fire you or dismiss you. After nine months, then, when you do something else, it does not affect you.	**Types of warnings.**

Theme 40: Types of warnings.

The interviews revealed that there were three types of warnings, namely: a verbal warning, a written warning and a final written warning. The verbal warnings and written warnings take three months, while the final written warning takes a duration of nine months, and these are kept in the employee's personal files for reference. Should the employee repeat the same offence within the said duration, he/she would be dismissed, except when it is committed after the warning period has expired. However, verbal warnings should not form part of the employment record of the employee, and the record should not be kept on the employee's personal file.

4.9.19 Interview Question 22: As HR, do you see yourself as part of the top management team or as part of the lower level management team?

TABLE 5.75: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 22)

HR MANAGER	IDENTIFIED THEMES
We are moving to become more strategic within the institution, especially the move from an HRM Director to HR Executive Director. So, I mean, having an Executive Director as part of the Executive	**Strategic partner.**

TABLE 5.75: RESPONSES OF THE HRM DEPARTMENT STAFF AND THEMES IDENTIFIED (QUESTION 22) (CONT'D.)

HR MANAGER	IDENTIFIED THEMES
Management is an indication of the importance that top management sees in HR.	

Theme 22: Moving from lower level to strategic partner.

The interview findings revealed that they were moving from lower level to strategic partner. This was made possible by the employment of a new HRM Executive Director, and proves that management is finally accepting HR as part of their team. The HRM Executive Director must also ensure that his staff members are competent enough to produce the required level of performance to support his departmental strategy as well as the institutional strategy at large.

5. SUMMARY OF THE QUESTIONNAIRE FINDINGS.

This section presents the summary of the findings from the questionnaire, in relation to recruitment, selection, performance management, compensation, training and development and industrial relations.

5.1 Recruitment

According to the findings from the questionnaire of Institution A, the recruitment function was evaluated annually, and to some extent, the same applied with Institution B's questionnaire findings. The interview findings, on the other hand, revealed that there were no evaluations conducted in either institution. This implies that there was a discrepancy between the information provided by the same respondents in the interviews, as well as the information they provided in the questionnaire.

The respondents from Institution A provided a comparatively high rate of the overall effectiveness of this function, while their clients and the researcher gave a fairly low rating of the overall effectiveness. The respondents from Institution B rated the overall effec-

tiveness of this function as relatively high, compared to their internal clients' low ratings, and the researcher's relatively low rating of this function's overall effectiveness.

The reason for the researcher's low rating was because there was no tangible proof to indicate that the functions were actually carried out. It is likely that these statements were rated subjectively. However, the researcher was in agreement with the respondents from both institutions regarding some of the statements in this function, because she had evidence to indicate that they were true.

5.2 Selection

With regard to the selection function, the questionnaire findings revealed that both institutions were evaluated annually. The interview findings, on the other hand, revealed that the function was not evaluated. This indicated that there were inconsistencies between the information provided by the same respondents on the questionnaire and the information they provided in the interviews.

The respondents also gave a relatively high rating for the overall effectiveness of the function in both institutions. However, when comparing these ratings to the researcher's ratings, they were extremely low. The reason for this was that they did not validate their claims to indicate that the statements were true. Looking at their internal clients' ratings, Institution A's clients rated the overall effectiveness of the function high, while Institution B's internal clients gave a lower rating.

5.3 Performance Management

Institution A's questionnaire findings, revealed that the performance management function was evaluated annually, while the interview findings indicated that the function was not evaluated. This showed that there was a discrepancy in the information provided by the same respondents who participated in both data collection methods by the researcher. Both the questionnaire and interview findings for Institution B indicated that

the evaluation was not done, since it only started this year with the employment of the new Learning and Development Manager.

The respondents from Institution A rated the overall effectiveness of this function extremely high, while the respondents from Institution B gave comparatively lower ratings, even as compared to their customer's ratings. The researcher rated this function, in both institutions, relatively low, since there was no evidence to substantiate Institution A's respondents' statements. However, she was in agreement with the respondents in some of their claims.

5.4 Compensation

According to the questionnaire findings of Institution A, compensation was annually evaluated, whereas the interview findings revealed that it was not. While the questionnaire findings for Institution B revealed that compensation systems and processes were evaluated regularly, the interview findings indicated that they evaluated the benchmarking of their pay structures with other institutions. Although this was part of the compensation process, it is not an evaluation of the effectiveness of the function. Concerning Institution B, there is no consistency between the information provided by the respondents in the interviews and the information they provided on the questionnaire. The respondents, in both institutions, rated the overall effectiveness of this function relatively high. The researcher gave a lower rating, which could have been caused by the fact that the HR staff sometimes have a tendency to embellish their ratings. The internal clients of Institution B were not satisfied with HR's service delivery, regarding this function.

5.5 Training and Development

According to the questionnaire findings from Institution A, there was an annual evaluation of the training and development function. The interview findings indicated that the evaluations that took place were for assessing the employee training and developmental need, and not for the assessment of the effectiveness of the training and development function. This required steps to be taken as a result of the evaluation findings, in

order to make the necessary improvements based on these findings. This meant that the evaluation of the effectiveness of this function never took place. Based on this, the respondents provided inconsistent information on the different data gathering methods.

The questionnaire findings for Institution B revealed that the training and development function was regularly evaluated. However, the interview findings indicated that the function was not yet evaluated, since the department wanted to develop a general instrument for evaluating the function. There is a discrepancy in the information provided by the same respondents in the different data gathering methods. The respondents, from both institutions, gave a high rating of the overall effectiveness of this function, together with their internal clients, while the researcher gave a lower rating, meaning that this function's overall effectiveness was very low, and needed to be improved.

5.6 Employee Relations

The questionnaire findings from both institutions revealed that the industrial relations function was evaluated regularly. However, according to the interview findings of Institution A, there was no evaluation of the function. This indicated that there was a discrepancy in the information provided by the respondents from Institution A. Institution B's interview findings indicated that the industrial relations function was evaluated regularly, meaning that the information was consistent. However, they could not validate their statement, hence the researcher's lower ratings. She does, however, agree to some of the statements because there was proof. The respondents, in both institutions, gave a high rating to the overall effectiveness of this function, while their clients also gave a high rating, although it was slightly lower than the respondents' ratings. This function was found to carry more weighting than the other functions under study, since it had more key performance areas.

6. THE SUMMARY OF THE FINDINGS BY COMPARING INSTITUTION A WITH INSTITUTION B.

6.1 Comparison of the findings from the Deputy Vice Chancellors' Interviews.

This section presents a summary of the findings from the interview questions by comparing Institution A with Institution B. Table 5.76 presents the findings from the Deputy Vice Chancellors of both institutions.

TABLE 5.76:COMPARISON OF DEPUTY VICE-CHANCELLOR FINDINGS FROM BOTH INSTITUTIONS.

INTERVIEW QUESTIONS	INSTITUTION A	INSTITUTION B
1. What is your perception of the function of HRM at your institution?	There were serious issues regarding HR. It was then decided to move HR from a traditional to a strategic partner, which led to the deployment of HR officers to faculties, departments and units within the institution. As a result, the perception of HR was increasingly moving towards the strategic, rather than the transactional.	The interviewee acknowledged the fact that HR were trying their best, even if they were performing under difficult circumstances.
2. How do you think HR, as a whole, was viewed by the faculties and other departments and units, prior to the introduction of the new Executive Director?	HR was viewed very badly, and there were so many grievances as well as disciplinary actions. HR was the lowest rated in the institution.	HR, as a whole, was viewed by faculties, other departments and units as lacking the capacity to deliver.
3. What, would you say, is the role of the HRM function at your institution?	The role of HRM is strategic leadership.	HRM provides management and leadership roles for all HR matters.

TABLE 5.76: COMPARISON OF DEPUTY VICE-CHANCELLOR FINDINGS FROM BOTH INSTITUTIONS.

INTERVIEW QUESTIONS	INSTITUTION A	INSTITUTION B
4. How involved is the HRM Executive in top management decision-making? For instance, institutional strategic goals.	Since the HRM Executive is a member of the VC Management Advisory Group, which is a top management team of the university, they are involved in the formulation of the institutional strategic goals, and therefore, a strategic adviser.	The HRM Executive Director was a member of the executive management of the institution, and therefore, a strategic partner attended all their meetings and also participated in decision-making
5. Do you see HRM as the eyes and ears of top management, for instance, with regard to changes taking place in the Global Market e.g. introduction of new technology?	As a member of VCMAG, the HR Executive Director provides advice to the VC regarding the admission policy of the institution and its application. As such, it served as the eyes and ears of the institution's top management, and also held the role of a strategic adviser.	The interviewee indicated that the HRM was the eyes and ears of top management with regard to policy, legislation and trends affecting the core business of HRM.

6.2 Comparison of the findings from the Middle Management Interviews.

This section presents a summary of the findings from the interview questions by comparing Institution A with Institution B. The middle management of Institution A did not participate in the study, hence there are no comments in this column. Table 5.77 presents the findings from the Middle Management of Institution B.

TABLE 5.77: COMPARISON OF MIDDLE MANAGEMENT FINDINGS FROM INSTITUTION B.

QUESTIONS	INSTITUTION B
1.What is your perception of the function of HRM at your institution?	There is a positive perception of HRM in the institution, since the appointment of the new Executive Director and the changes he implemented.
2.What, would you say, is the role of the HRM function at your institution?	The role of the HRM function in the institution is providing HR services as well as strategic direction.
3.Since your job is to assist top management with the running of the faculties, and since you are a client of the HRM department, how do you feel about the services rendered by the HRM department?	The services rendered by the HRM department have improved since the appointment of the Executive Director of HR.

6.3 Comparison of the findings from the HR Executive Director and the Acting HRM Director, as well as the HR Staff Members' Interviews.

This section presents a summary of the findings from the interview questions by comparing Institution A with Institution B. Table 5.78 presents the findings from the HR Executive Director from Institution A, as well as the Acting HRM Director from Institution B. The reason that Institution B had an Acting HRM Director participating in the study was because the position was not yet upgraded and it was still vacant.

TABLE 5.78: COMPARISON OF THE HRM DEPARTMENT STAFF FINDINGS FROM BOTH INSTITUTIONS.

FUNCTIONS	INSTITUTION A	INSTITUTION B
HRM department	The findings indicated that the performance of the HRM department was not evaluated regularly, but there was an institutional review of the department service offered, as a whole, done in 2010. They were trying to look at the improvements to enable them to put regular monitoring and evaluation mechanisms in place.	The findings indicated that the HRM department was not evaluated regularly. However, there was an institutional audit that took place in 2010, which was a national requirement by HEQC, and not the institution's initiative to assess the department's effectiveness.
Recruitment	This institution did not formally evaluate this function. They were only receiving informal feedback.	This function was not evaluated due to a lack of leadership, although there was a system in place to ensure the monitoring of recruiters. But this system was outdated.

TABLE 5.78: COMPARISON OF THE HRM DEPARTMENT STAFF FINDINGS FROM BOTH INSTITUTIONS. (CONT'D.).

FUNCTIONS	INSTITUTION A	INSTITUTION B
Selection	They viewed the selection function as being continuous with the recruitment function, and it was performed by the same people who performed the recruitment function.	The findings revealed that selection was a continuous function from recruitment, and it was performed by the same persons.
Performance Management	Performance management was also not formally assessed. However, they were in the process of setting up serviceable agreements, which would serve as an on-going evaluation process.	Performance management was newly introduced, after the employment of the Manager of Learning and Development. Therefore, no evaluations were carried out as yet.
Training and Development	The findings indicated that they had an on-going evaluation. But the respondent seems to be referring to a needs assessment, and not to the assessment of the effectiveness of the training and development function as indicated in the study.	The findings revealed that training and development was not evaluated since the Manager Learning and Development was recently employed. But they were in the process of developing a general tool for evaluating the function.
Compensation	This function was also not evaluated.	The findings indicated that they were benchmarking with other institutions, and not evaluating the function itself.
Industrial Relations	There were no formal evaluations of this function. They only received informal feedbacks, although they were involved in policy reviews.	The findings revealed that the evaluation was currently done. This interview was conducted recently after the HRM Executive Director was employed and had implemented some change in the HRM department.

7. THE COUNTRY-WIDE SURVEY RESULTS OF THE STUDY.

This section depicts the responses from participants taken from the country-wide survey, from various tertiary institutions within the country. The participants (Deputy Vice Chancellors/Registrars/HR managers) were asked to rate the HRM department and its function using a *Likert* scale of 1-5, number 1 being “strongly disagree” and number 5 being “strongly agree”from three statements contained in memorandum.

7.1 Response ratings.

Out of emails that were sent out to tertiary institutions around the country, only seven institutions responded. The response ratings from seven institutions

TABLE 5.79: Ratings of the seven respondents on the statements of the memorandum.

STATEMENTS	TERTIARY INSTITUTIONS RATINGS.						
	C	D	E	F	G	H	I
1. The performance of the HRM department is audited/assessed at least once per year.	10	8	8	8	8	8	2
2. Each of the HRM functions is covered by the audit/assessment.	10	8	8	8	8	8	2
3. I am satisfied with the performance of the HRM department in the carrying out of its mandate.	10	8	8	8	2	4	2
TOTAL (30 MAXIMUM)	**30**	**24**	**24**	**24**	**10**	**20**	**6**
EFFECTIVENESS OF THE FUNCTION (x/30)%	**100**	**80**	**80**	**80**	**33.3**	**66.6**	**20**

7.2 Analysis and Interpretation (Table 5.79).

The 10-point rating scale was used in this table, meaning that all the statements carry equal weight. The respondent from institution C gave statements 1 to 3 a high rating of 10 each. This implies thas the HRM department conducts HR audits at least once a year, each HRM function is covered in the audit, and that they are satisfied with HR service delivery. The overall effectiveness of institution C is 100%. 100% of service might be caused by the fact that HR staff members have a tendency to embellish the effectiveness of their performance. The respondent from institutions D,E and F also gave a high ratings of 8 for each of the three statements, this is slightly lower than institution C, meaning that they are satisfied with the HR service delivery, since HR audits are carried out to identify flaws is the service delivery and apply corrective measures where possible and that this audit covers each HRM functions. The overall effectiveness of institutions D, E and F is 80%. Institution G was given an overall rating of less than half of institutions D to F (statements 1 and 2 a rating of 8 each and statement 3 the lowest rating of 2). This is an indication that audits of the HRM department were conducted and that they covered all the HRM functions, but people were dissatisfied with the services rendered by the HRM department despite the evaluation of their service. This could either mean that there was something flawed with the process of evaluation, it did not measure what it was intended to, or that the people who conducted it were not competent enough to carry it out, or the instrument was flawed. Institution G's overall effectiveness is 33.3%. Institution H's ratings were to some extent lower than institution C's ratings and a slightly lower than institutions D to F's rating and twice higher than institution G's ratings. Statement 1 and 2 were given a high rating of 8 each, while statement 3 was given a rating of 4. This indicates that although HR audits were conducted and covered all HRM functions, people were dissatisfied with the services provided. The overall effectiveness of institution is 66.6%. Institution I was given the lowest ratings as compared to all the other institutions with ratings of 2 for each of the three statements, implying that the audits were not conducted and the service rendered by HRM department was dissatisfactory. The overall effectiveness is 20%.

8. SUMMARY.

This chapter has presented, analysed and interpreted the data of the study conducted concerning an evaluation of the human resource function at tertiary institutions in the Western Cape province. The results from the study conducted revealed that the HRM department function, in the two institutions, was not properly evaluated. The questionnaire findings indicated that functions like recruitment and selection, performance management, compensation, training and development as well as employee relations, were evaluated, but they could not provide any evidence to prove that the evaluation was carried out.

The interview findings, on the other hand, revealed that most of the functions were not evaluated in both institutions, although they were receiving informal feedback at Institution A. There was an e-recruitment system on the website of Institution B to check on the efficiency and productivity of the HR staff at this Institution, but it was not in use since the information was out-dated. There was a glaring discrepancy between the questionnaire findings and the interview findings.

The perception of HR changed after the employment of Executive HRM Directors and the changes they implemented. The survey findings also revealed that HRM department was evaluated in some of the tertiary institutions, but even when it was done they remained disgruntled with the services. Further research, revealed by the study, will also be recommended.

In Chapter 6, the main findings and recommendations will be discussed.

CHAPTER 6
SUMMARY OF RESULTS, RECOMMENDATIONS AND CONCLUSION

1 INTRODUCTION

A brief summary of the research conducted is presented in this chapter. This chapter also provides major findings on the research questions formulated in Chapter 1 (p. 12,13). The main purpose of the study was to establish the extent to which two tertiary institutions in the Western Cape evaluated their Human Resource Management (HRM) functions, and to develop an HRM function evaluation model for tertiary institutions, based upon the findings of the study.

2. MAIN FINDINGS

2.1 Institution's Executive Management's perception of the HRM function.

2.1.1 Strategic partner.

2.1.1.1 Strategic versus transactional HRM.

The findings of the study indicated that there was a debate as to whether to maintain the status quo of transactional HRM or to change it to strategic HRM. Although HRM had not yet reached a stage in which management fully perceived it as a strategic partner, HRM was progressively changing management's perception and was viewing it as a strategic HRM (see Table 5.18 p.327).

2.1.1.2 HRM provides leadership role.

The study also revealed that HRM was fully entrenched senior leadership at both institutions, and was expected to play a leadership role. The HRM provided his team members with guidance concerning human resources related issues, and served as

their advocate where necessary (e.g. when downsising is inevitable). This also required her to ensure that her staff members were fully supporting her to achieve the institutional goals (see Table 5.20p.329,330/Table 5.46 p.351).

2.1.1.3 The HRM Executive is a member of top management team.

The study also revealed that the HRM Executive Director as part of the institution's top management team involved in executive meetings. at both institutions. As a member of the executive team was involved in decision-making, as well as formulating the institutional strategic goals on which his/her department, other departments and faculty goals were based, especially with regard to issues affecting the human capital, since institutions needed the human capital component to achieve their goals.(See Table 5.21p.330/Table 5.45p.351).

2.1.2 Human Capital Issues.

2.1.2.1 Decentralisation of HRM functions.

The study revealed that since HRM had now changed from transactional HRM to a strategic partner of the institution, it was then decided to decentralise the HRM functions, which meant that faculties, departments and units were provided with strategic partners, who were situated in their surroundings, to enable them to get prompt assistance regarding HR issues at institution A (see Table. 5.18 p.327,328). Concerning institution B the interviews indicated that there were issues affecting HR staff and preventing them from performing to the best of their ability no matter how much they tried to provide an acceptable service to the institution. The decentralisation at institution B took place after the employment of the HRM Executive Director and the implementation of the changes that resulted in the deployment of HRM personnel to the faculties, departments and units within these institutions (See Table 5.44 p.350/Table 551 p.355). Faculties and departments within the institutions were now receiving speedy service from HRM partners in their locality.

2.1.2.2 Reputation of the HRM department.

The study also revealed that HRM was viewed very badly, it was the most hated department, and that there were internal issues affecting the department. These caused a huge turmoil within the HRM department, as well as impacting on the staff members' morale. The department's productivity was also negatively affected at Institution A. This led to labour-related processes being implemented. The findings also revealed that the HRM department at institution B was regarded by the faculties, other departments and units as providing sub-standard services, lacking the capacity to deliver services and thus providing inadequate service. There were some issues preventing the HRM department from performing to the best of their ability (e.g. the number of HRM staff members and their competences), no matter how much they tried to provide acceptable service to the institution (See Table 5.19p.328,329/Table 5.48 p.353 & Table 5.44 p.350).

2.1.3 Changes.

2.1.3.1 Effectivity.

The interviews demonstrated that there were some changes taking place, which led to things being done effectively after the employment of the HRM Executive Directors in both institutions. One of the noticeable changes was the faculties working in collaboration with HRM, by deploying business partners to the faculties, departments and units, to provide them with prompt assistance instead of getting it directly from the HRM department (Table 5.23 p.332/Table 5.50 p.354).

2.1.3.2 Changing attitudes.

The study revealed that there were noticeable improvements in the service provided by the HRM department. This led to a decrease in complaints regarding the HRM department service delivery, hence some of the employees had started to change their

attitude towards the HRM department at both institutions. Table 5.23 p.332/Table 5.50 p.354).

2.2 The Dean's perception of the HRM function at institution B.

2.2.1 Changes.

2.2.1.1 Positive perception.

The interview findings revealed that the Dean, as a client of HRM department, and being the member of the middle management at institution B, had a positive perception of the HRM department. This was due to the implementation of changes by the HRM department (See Table 5.51p.355).

2.2.1.2 Strategic advisor.

The study revealed that the respondent viewed the role of HRM, among others, as a strategic advisor, providing guidance with regard to human capital issues at the institution (See Table 5.52p.380).

2.2.1.3 Improved service.

The interviews findings indicated that the HR service had improved, as a result of the appointment of the HRM Executive Director and the changes he brought, especially with the deployment of the business partners to the faculties and departments. They provided prompt service to every need of the faculties, without delay (See Table 5.53p.356).

2.3 The Executive Director's view regarding HRM function.

2.3.1 The assessment of HRM functions.

2.3.1.1 Assessment of HRM.

The findings indicated that HRM departments did not participate in any assessment of HRM as a whole at both universities. But, when comparing the interview findings to the responses provided by the same participants in the performance assessment questionnaire, in which they indicated that the HRM functions were evaluated to a large extent, there was an inconsistency in their responses (See Table 5.24p.333,334/Table 5.54p.357).

2.3.1.2 Institutional audit by HEQC.

The interview findings revealed that the only audit that took place at both institutions was an institutional audit in 2010, which was a national requirement by the Higher Education Quality Commission, and not an initiative by the institutions. There was no action taken with regard to the results of the findings to take corrective measures, or a follow-up audit to make the necessary improvements (See Table 5.24p.333/334/Table 5.54p.357). This is, therefore not an evaluation referred to in this study.

2.3.2 Service provided by HRM.

2.3.2.1 Inadequate service delivery.

The findings revealed that due to absence of evaluating its service delivery, the HRM department provided inadequate service delivery to its internal clients. As such, there was no way in which they could know that their service delivery was inadequate, to apply corrective mechanisms (See Table 5.24p.333,334). The interviews also demonstrated that management's perception of HRM at institution A was contingent on

the service provided by HRM department. Management had a negative perception, when they experienced inadequate service from HRM department, and the perception would change to positive, if the service was satisfactory. Their perception regarding HR's service to the institution was unpredictable (see Table 5.25 p.335,336).

2.3.2.2 Improved service delivery.

The interviews demonstrated that HRM was now trying to improve the service they offered to institution B's clients. To improve the service would require staff members to acquire the necessary competencies to perform at the required level, through the appropriate training and development programmes. Since the strategic partnership was fairly new to the HR staff members, and most of them were still lacking the required competencies to fully carry out such tasks, they needed to undergo rigorous training to accomplish that (Table 5.55 p.358,359.

2.3.3 Intention of HRM Department.

The study revealed that HRM department's intention at institution A, was to work on the basis of recommendations of the 2010 audit, but was not done due to lack of resources. Although they had done a lot of work to assess various areas and to improve the service and put new mechanisms in place (See Table 5.24 p.333/334).

2.3.4 Conflicting opinions.

The study revealed that management had conflicting opinions regarding HRM. They did not understand HRM's intention and how it could assist the institution (see Table 5.25p.335).

2.3.5 Development of HR staff capacity.

The interview findings demonstrated that some HR staff had undergone training to develop their capacity to perform at optimum level. This might have been caused by that since the HR transition was fairly new, the HR staff were not well equipped to perform their duties in order to support the HRM executive in realising institutional goals (see Table 5.25p.335,336).

2.3.6 Strategic partner.

The interviews revealed that, the HRM Executive Director as a member of the institution's management team, she was also involved in the institution's strategic planning. This was because the realisation of the organisation's strategic goals was dependent on the human factor, to carry out the activities leading to that, and since the Executive Director was responsible for the human capital component of the institution, had to be part of the decision-making at both institutions (Table 5.26 p.336/Table 5.55 p.358). Although prior to the employment of the new Executive HRM Director at institution B, the acting HRM Director was never provided with the status of an Executive Director, and she never attended the executive meetings, as such could not participate in decision-making. This could have been caused by the fact that this position was not yet upgraded to an executive director (Table 5.56p.359)

2.4 The HRM department staff's views regarding HRM practices.

2.4.1 Recruitment function.

Assessment of the recruitment function.

The interview findings revealed that there were no assessments of the recruitment function carried out, although there were informal feedbacks at institution A. Institution B indicated that they did not evaluate this function since they lacked HRM leadership, but

there was a system in place to ensure the monitoring of recruitment staff members. But, this system contained outdated information on the website and could not be used (See Table 5.27p.337/Table 5.57p.360). The researcher also realised that there were inconsistences, when comparing the interview findings with the questionnaire responses from both institutions regarding this function. The performance assessment questionnaire findings indicated that this function was evaluated, and the respondents rated its overall effectiveness very high, while the HR clients and the researcher rated it low. (See Table 5.2 p.327,328/Table 5.10p.352-354). The reason for the researcher's low ratings of this function, in both institutions, was because the respondents could not substantiate their statements. The recruitment policy was available in both these institutions and the researcher was able to download it from the institutions' websites.

2.4.2 Selection function.

2.4.2.1 Assessment of the selection function.

The interview findings revealed that selection was not evaluated, at both institutions, since it was a continuous function from recruitment, and was normally referred to as a recruitment and selection function. This meant that it could not have been assessed, since recruitment was not. Selection policies were available on the institutions' websites (See Table 5.35p.343/Table 5.65p.369). When the researcher compared the interview findings to the questionnaire responses, she found a discrepancy, as the respondents indicated that both institutions evaluated the function annually. This information was provided by the same respondents who were interviewed. The respondents gave a relatively high rating for the overall effectiveness of the function in both institutions. The HR clients from institution A, also gave a high overall effectiveness rating for the function, while the HR clients from institution B provided a lower rating. The researcher provided the lowest rating of the overall effectiveness of the function, since the respondents from both institutions could not produce proof that their statements were valid (See Table 5.3 p.329-331/ Table 5.11p.355-357).

2.4.2.2 Ensuring fairness.

- Employment equity.

The study also revealed that there was an involvement of various stakeholders in the processes and procedures, namely, employees representatives and the employment equity representatives, to ensure fairness and consistency in the processes at. Both institutions. Employee Relations Manager appointed to oversee to the employee relations issues, and other stakeholders at both institutions (See Table 5.36p.343,344/ Table 5.66 p.369,370).

- Policies

The feelings revealed that there were also policies in place, which were reviewed to ensure that they were in line with the legal requirements. Staff members were also advised to familiarise themselves with these policies and procedures in order to apply them in their processes. The institutions adapted their processes to ensure that unfair labour practices were avoided (See Table 5.66p.369,370).

2.4.3 Performance management function

Assessment of the performance management function

The findings also indicated there was absence of assessment of performance management function, at both institutions, and that there were written performance management policies and system in place. The HRM department was in the process of setting up serviceable agreements which were going to serve as an on-going evaluation process at institution A, while the performance management function was fairly new at institution B (See Table 5.28p.338/Table 5.58p.361,362). However, the information provided from the questionnaire responses from institution A revealed that the function was evaluated. One might wonder how they could have evaluated the function, if there

was no mechanism for evaluation. The questionnaire responses from Institution B indicated that the evaluation of this function was not carried out, as indicated in the interviews (Table 5.4 p.332-334/Table 5.12p.358-361). This shows that there were inconsistences in the information provided by the same respondents, on different data gathering method.

The respondents at institution A, rated the overall effectiveness of this function extremely high, while the respondents from institution B gave a comparatively lower rating, even compared to their client's ratings. The researcher rated this function, at both institutions, relatively low since there was no evidence to substantiate their ratings. She was, however, in agreement with the respondents in some of their claims since there was written proof to indicate that the functions were carried out (See Table 5.4 p. 332-335/Table 5.12p.358-361).

2.4.4 Compensation and benefits function.

2.4.4.1 Assessment of the compensation function.

The study revealed that there were compensation policies available at both institutions. However, the compensation function was not assessed, since HRM service as a whole to institution A was not assessed, although they sometimes received informal feedbacks. The interview findings from institution B indicated that they benchmarked their pay structures with other institutions. Benchmarking is not an evaluation of the effectiveness of the function, but a component of the compensation process. It entails monitoring and assessment of the function against the needs of the organisation, the effectiveness of job analysis, and whether the results match with the set goals of the function, etc. (See Table 5.29p.339/Table 5.59p.362). Therefore, this implies that this function was not evaluated. However, the questionnaire findings from both institutions revealed that compensation systems and processes were evaluated regularly, and as such, there was no consistency between the information provided by the same respondents in the interviews, and the information they provided on the questionnaires

(See Table 5.5p.335-338/Table 5.13p.334).

The respondents in both institutions gave relatively high ratings for the overall effectiveness of this function. The internal clients of institution A, also gave high ratings, while the institution B's internal clients gave relatively low ratings. This may have been as a result of receiving inadequate service delivery. The researcher also gave relatively low ratings due to the respondents' failure to substantiate their claims (See Table 5.5p.336-338/Table 5.13p.334).

2.4.4.2 Salary increment.

Management negotiating team.

The interviews revealed that the Management Committee (MANCOM) gave a mandate to the management negotiating team to negotiate with the unions with regards to salary increases in both institutions. This team included the Executive HR Director, Employee Relations Manager and Financial Manager at institution A. While the negotiating team at institution B comprised the Executive HR Director, the Employee Relations Manager, the Financial Manager and two Faculty Deans (See Table 5.30p.339//Table 5.60p.364).

2.4.4.3 Determination of salaries.

- Ad hominem policy for academic staff.

The interview findings revealed that promotions were only done for academic staff, based on the ad hominem policy. The Faculty Promotion and Remuneration committee which comprised a Dean, Deputy Vice-Chancellor, two Deans from other faculties and other members, made recommendations to the Vice-Chancellor with the proposal based on the achievements of the standard academic salary package criteria in institution A. In institution B, they were done based on the ad hominem policy for academic staff, but only applied to confirmed permanent staff working for at least two years. However, in

unusual circumstances, contract staff, who had worked for the institution for at least two years were also considered. (See Table 5.31p.340/Table 5.61p.365.

- Policy for non-academic staff.

The policy excluded non-academic staff in both institutions, however, there was a new strategy at institution B, that catered for everybody, which indicated that whenever a person was promoted he/she would be placed at the 50th percentile even if he/she was at the top of his/her grade (See Table 5.31p.340/Table 5.61p.365).

2.4.5 Training and development function.

2.4.5.1 Assessment of training and development function.

The interview findings revealed that the evaluation that took place was employee training needs assessment, and not the training and development function effectiveness evaluation. This implies that the training had and development function was not evaluated at both institutions. However, the questionnaire responses showed that the function was evaluated. Institution B was yet to develop a general instrument for evaluating the function (See Table 5.32p.341/Table 5.62p.366). The study revealed that the respondents provided inconsistent information on different data gathering methods, since, the questionnaire findings indicated that this function was evaluated. This differs from the information provided by the same respondents on separate occasions. The respondents, from both institutions, gave a high rating of the overall effectiveness of this function, while their internal clients gave slightly lower ratings, while the researcher gave extremely lower rating, meaning that the respondents overrated the overall effectiveness of this function (Table 5.6p.339-341/Table 5.14p.337).

2.4.5.2 Training programmes.

- Internal and external training courses.

The study revealed that there were both external and external courses available for staff members to choose from at both institutions. They could choose to attend external programmes funded by the institution or internal programmes offered by the staff members from both institutions. Institution B provided a whole range of different training interventions in place, for staff members, namely behavioural competencies, competencies for technical skills, and discipline-specific training. Some of these training programmes were offered in-house and some externally by specialists or experts in a specific field. There were also courses not offered by the training department, but by the Fundani Centre (See Table 5.33p.341,342/Table 5.63p.367).

- Generic courses for all levels.

The study also found institution A offered generic courses that cut across different levels, and which were not level-specific. There were also courses for lower level positions, for instance computer literacy. If there was a need for job-specific training candidates were sent outside the institution for such training (See Table 5.34p.342).

- Customising training.

The interviews demonstrated that the department offered customised training for particular needs at institution B. When they received requests for training they provided training that was suitable for that particular group or individuals. To provide customised training they required to conduct needs analysis prior to the commencement of training. This enabled them to identify what the training needed to focus on, since high level positions dealt with strategic issues, while lower levels dealt with operational issues, as such they required training relevant positions (Table 5.64 p.368).

2.4.6 Industrial/employee relations function.

2.4.6.1 Assessment of the industrial relations function.

The interview findings revealed that the industrial relations function was not assessed, and that the only assessment that took place was of the institution's policies, caused by constant changes in the labour legislation, which forced institutions to align their policies with the labour legislation. However, the questionnaire responses gave a different view, as they revealed that this function was actually assessed at institution A. This is an indication of inconsistency of the information provided by the same respondents with a different data-gathering method. With regard to institution B, the interview findings showed that the evaluation of the industrial relations function was recently done due to a quality audit. This could have been because this interview was conducted after the new Executive HRM Director was employed and had implemented some changes in the HRM department, to keep up with the new developments in labour legislation (See Table 5.37p.344,345/Table 5.68p.371,372).

The questionnaire responses also revealed that this function was evaluated at institutions, meaning that the information was consistent with the interview findings at institution B. The respondents, however, could not validate their statements, and there was no proof that the employee relations system, as a whole, was evaluated. Hence the researcher provided lower ratings, although she agreed to some of the statements, since there was proof (Table 5.7p.342-345/Table 5.15p.367-369).

The respondents in both institutions gave a higher rating to the overall effectiveness of this function. Their clients also gave a high rating, although it was slightly lower than the respondents' ratings. This function was found to carry more weighting than the other functions under study, since it had more key performance areas (See Table 5.7p.315/Table 5.15p.p.340).

2.4.6.2 Policies and procedures.

The study revealed that there were policies and procedures in place, which were reviewed to ensure that they were in line with the labour legislation requirements at both institutions (See Table 5.38p.345,346/Table 5.69p.345,346).

2.4.6.3 Unions.

The findings revealed that there were unions in place that represented the employees at institution A (See Table 5.38p.345,346).

2.4.6.4 Employee relations.

The study also revealed that an Employee Relations (ER) Manager that was appointed to oversee the employee relations matters at both institutions. The ER manager should ensure that everyone in the institution is familiar with these policies and procedures (See Table 5.38p.345,346/Table 5.69p.371,372).

2.4.6.5 Handling of grievances processes.

Employee Relations Policy and procedure.

The interviews demonstrated that the process for handling the grievance at this institution was outlined in the Employee Relations policy and procedures at both institutions (See Table 5.39p.346,347/Table 5.70 p.372,373).

Three-phase process.

The study also demonstrated that there was a three-stage process at both institutions, and the first stage was an informal stage, in which an HR practitioner facilitated an open dialogue between the two parties engaged in addressing the grievance. The HR

practitioner would try to conciliate the matter, and find a suitable way of reaching agreement. If the issue was not resolved in stage one, it would then escalate to stage two, in which the formal grievance would be heard by the Senior HR practitioner, who would chair the meeting. If the issue was not resolved in stage two, it would then escalated to stage three, in which it would be presided by the Vice-Chancellor. There was also an appeals process where the matter was heard by the Registrar at both institutions (Table 5.39p.346,347/Table 5.70p.372,373). The researcher was not provided with any statistics to show that there were low rates of grievance processes in both institutions.

2.4.6.6 Awareness of programmes.

Websites and intranet

The study revealed that the grievance procedures were posted on the institution's website and intranet for employees to peruse. The information was also disseminated through the unions at institution A. Institution B presented the information through the induction programmes, by posting policies and procedures on the institution's website, roadshows, as well as, through committees, where there was a large number of Heads of the departments or departmental representatives (See Table 5.40p.347,348/Table 5.71p.373,34).

3. SUMMARY OF THE FINDINGS.

It is apparent from the findings of the study that the HRM function was not evaluated at both institutions. The study also exposed that HRM, as a whole, was viewed by faculties, other departments and units, as lacking capacity to deliver, and it provided inadequate service.

The findings also indicated that functions, such as, recruitment and selection, performance management, compensation, training and development, as well as employee relations were not evaluated in both institutions, although they were receiving

informal feedback at institution A. Institution B had an e-recruitment system on their website, to check on the efficiency and productivity of HR staff. However, this system had outdated information and was not in use. There was no monitoring and evaluation mechanism in place.

The perception of HR changed after the employment of HRM Executive Directors and their implemented changes, especially, the re-deployment of some of the HR staff to the faculties, departments and units within the institutions. HR was then viewed as a strategic partner, and also participated in the strategic decision-making.

4. RECOMMENDATIONS

Human Resource practices evaluation is one of the significant features of Human Resource Management (Morte & Heil, undated). There are various reasons why the evaluation of HRM function is currently critical in many organisations. Olalla & Castillo (2002) argue that one of these reasons ensures that the organisation performs efficiently and effectively, and HRM's internal clients' satisfaction was maintained. According to Ramlall (2003), this evaluation is significant because the information gathered from it is used to establish how specific HRM practices link with better business results; to establish possible areas for investments, growth, and cutbacks; to validate budget distributions; and be more responsible for funds spent in the organisation.

Kumar and Mishra (2011) assert that, based on this evaluation, the organisation will be able to develop new goals to improve its market share. Ahmad and Schroeder (2003) state that it is necessary for organisations to evaluate their existing HR practices because the evaluation will enable them to adjust the HR practices should the need arise, and enable employees to effectively contribute toward the improvement of the organisational performance.

4.1 HRM function.

Since the role of HR has moved from an administrative role to a strategic role in both institutions, HRM needs to show its effectiveness by evaluating its functions, and this is constantly viewed as an important characteristic of Human Resource Management (Colakoglu *et al.*, 2006; McLean, 2005). Regularly evaluating HRM functions is vital because it would enable these institutions to develop new goals, as well as improving HRM functions effectiveness in internal management practices, greater visibility of HRM function and subsequent effort towards superior professionalism, universally viability, and recognition of employees as a vital factor in developing and maintaining competitive advantage, as well as ensuring that the institutions perform efficiently and effectively and to ensure that HR's internal customers' satisfaction is maintained. The evaluation would also enable the HRM departments to adjust their policies and practices should the need arise. It would also enable the HRM to illustrate how it effectively contributes towards the improvement of institutional performance (Kumar & Mishra, 2011; Franklin *et al.*, 2005; Ahmad & Schroeder, 2003; Olalla & Castillo, 2002).

Otherwise, if HRM does not evaluate its functions to show how it contributes towards the institutional performance, it would not be able to convince line managers to use and take advantage of the developed HRM policies and tools, and line managers would not even recognise HRM as a critical strategic department (Verweire & Berghe, 2005:193).

McLean (2005) outlines some of the reasons why the evaluation is significant include:

- Establishing future HR investments
- Development of HR processes
- Establishing the alignment of HR with organisational plans
- Constructing intellectual capital within the organisation
- Ceasing doing what is ineffective
- Ensuring that everyone in the organisation is accountable to stakeholders
- Ensuring that there is improvement in the organisational wide-range atmosphere and wellbeing

- Keeping away from trends and “flavours of the month”
- Ensuring that the organisation keeps the employees motivated and productive
- Developing the image of HR by indicating its contribution to the achievement of organisational goals.

The evaluation should be holistic, and include the review of all key areas, such as HR planning, job analysis, compensation administration, recruitment, selection, socialisation, training, performance appraisals and industrial relations, policies, procedures, documentations, systems, as well as practices in relation to an institution’s HRM functions. However, some of the HRM evaluations are much wider in scope, and they assess the degree to which HRM policies and practices are in line with the organisational strategic goals and values, as well as the degree to which they are successfully executed to get the desired behaviours and results (Deb (2009: 459; Storey *et al.* 2009:86; The Arnold Group, 2004). The information collected from the evaluation process should be utilised to establish how specific HR practices link with better business results; establish possible areas for investments, growth, and cutbacks; validate budget distributions; and be more responsible for funds spent in an organisation (Ramlall, 2003). Key areas that need to be evaluated in the HRM practices include:

4.2 Recruitment and selection

The rationale of evaluating the recruitment and selection at the institutions under study is to improve the efficiency of future recruitment attempts by assessing the performance of different recruitment sources systematically (e.g.). To establish whether recruitment and selection serve their intended purpose, they need to be evaluated in terms of money spent per appointment and the quality of appointment (Cascio, 2010:219; Baker & Utrecht, 2007). In order to ensure the effectiveness of both institution A and institution B’s recruitment and selection functions, it is crucial that they are evaluated, and the evaluation should focus on the following (Catano *et al.,* 2010:276; Wright & Storey cited by Pranit (2010:131; Olalla & Castillo, 2002):

- The cost of recruiting new employees and whether they will remain with the institution for a longer period.
- The average cost of recruitment and selection per position.
- Whether these employees are more productive or have a more optimistic approach about the institution.
- Whether the institutions have managed to employ better competent candidates.
- Whether advertisements have paid off by attaining more applications.
- The extent to which internal and external sources of recruitment are employed.
- The average number of candidates that fail the selection tests,
- The extent to which the recruitment attempts are suitable for the institutional strategy.
- The number of the recruited candidates.
- The average number of days between receiving the application and the final response.
- The number of days necessary to fill a vacant position
- The number of applications received per job categories
- The number of initial queries received which led to application forms being completed.
- The number of candidates at different phases in the recruitment process, particularly the short listed ones.
- The number of the recruited candidates.
- The number of candidates retained by the organisation after a period of six months.
- The number of males and females who are successful at each phase of the process and.
- The number of candidates from various ethnic subgroups.
- The number of initial queries received which led to application forms being completed.

To measure the effectiveness of the recruitment plans the institutions should employ the following methods (Sahu, 2010:14,15):

- Cost per employment is determined by dividing the entire expenditure of the plan

by the number of appointments.

- Indirect expenses like administration and preparation time; the effectiveness of employing competent candidates at reasonable cost can be assessed by calculating cost per employment.
- Vacancy rates permit the employers to assess the form of occurrence in employee turnover. This is calculated by dividing the number of vacant posts by a number of posts when the organisation is completely staffed.
- Selection rates permit you to view the ratio between the number of the interviewed candidates and the number of candidates employed. This information is attained by dividing the number of interviews by the number of appointments. These rates may assist in defining the competency of the candidates being interviewed. The pre-interview screening methods may need to be assessed if selection rate is low.
- Response rates demonstrate the return on hiring advertisements. Should the organisation receive low return, it will mean that the advert requires improvement. These rates are computed by dividing the number of candidates who responded to the advertisement by the number of candidates actually qualified for the post. For instance, if there are few qualified candidates and the target was more, then the advert necessitates adaptation.
- Turnover rate may be used as a criterion in assessing recruitment and selection.

4.3 Performance management

According to Chai (2009:42) performance evaluation compares the outcomes with predetermined objectives, in order to make a decision on the level of goal accomplishment. This type of evaluation identifies goal realisation efficiently and effectively, especially, when the objectives replicate the institution's mission appropriately and holistically. Performance evaluation is fundamentally concerned with deciding on how well employees are performing their allocated duties and tasks (Caruth et al., 2009:10).

It is imperative that both institutions carefully monitor their performance management systems, as well as, evaluating how well they are functioning. This will ensure that the

application and maintenance problems are speedily recognised and efficiently resolved. Managers in both institutions should seek ways in which they may reinforce the systems holistically, should they not deliver useful information, and assist in achieving good performance appraisal and improve fundamental outcomes (Poister *et al.,* 2014:47,48). They should ensure that they employ clear measurements to monitor and evaluate the system after the examination period has ended, and the performance management system has been applied institution-wide. They should decide on how to evaluate the effectiveness, the degree to which their systems are being executed as intended, as well as the level to which they generate the planned result (Smithe & London, 2009).

The evaluation of performance management entails, among others, performance evaluations, incentive evaluation, career development programme review, succession planning programme evaluation, organisational goal-setting evaluation, evaluation of coaching and mentoring programme, and the evaluation of work-related issues (Bhattacharyya, 2011: 291).

The criteria used for evaluation.

An effective performance evaluation system requires that the criteria used for evaluating employee performance should be job-related, applicable, have values and employ reliable methods (Sommerville, 2007:240). Kleynhans *et al.* (2009:162) also maintain that the criteria employed should be job-related, and could be drawn up by employing job analysis. If the criteria is ambiguous and not job-related, management may end up charged with unfair discrimination (Bohlander & Snell, 2007:144). Durai (2010:294) further maintains that a faulty evaluation may be detrimental to the organisation. Hence it is necessary for HRM to ensure that they evaluate performance management function to improve its effectiveness.

4.4 Training and development.

It is very significant that both the institutions understudy evaluate their training and development function to establishes whether it has accomplished its objective in the most effective and efficient way as well as its effect on the employee performance (NaderBezegar, 2011; Swart *et al.,* 2005). The evaluation needs to be properly planned and clearly stated in the form of objectives for what needs to be evaluated. It will determine whether training and development has met the intended learning outcomes (William, 2011). The managers and HR practitioners involved in the evaluation process should gather information that could be used to make effective training and development decisions which entail selection, implementation, adaptation and financial evaluation (Coetzee *et al.*, 2007:250, 251).

The evaluation should be employed, contrasting the outcomes with the aims of the training and development programme that were set at the evaluation phase. The criteria employed to assess the training programme should be based on the objectives of the programme and the person who sets the criteria (Nel *et al*., 2004:427). The function needs to be evaluated in connection with funds allocated to it and the number of participants (Baker & Utrecht, 2007). The evaluation should indicate whether the training programme has been able to achieve its objectives in relation to the cost incurred and the benefits achieved (Farjad, 2012).

One of the strategies that could be employed, is Kirpatrick's model of evaluating training effectiveness, which evaluates the participant's reaction, what he/she has learned, whether there is any changes in his/her behavior, as well as, its effect on the organisation's effectiveness (Erasmus et al., 2009:16; Kleynhans et al., 2006:127, 128). This model has been found to be the most prominent framework for evaluating training programmes, and that most of the models used currently are revised versions of this model (Rajeev *et al*., 2009; Bates, 2004). This three-step evaluation model is a mixture of formative and summative approaches, using numerous techniques which measure the reactions, perceptions, learning and behavioural components of the trainees, linking

quantitative and qualitative instruments and objectives at evaluating the effectiveness of the course in providing a sufficient learning climate (Rejeev, et al., 2009). Summative assessment is administered at the conclusion of some unit instructions, whereas formative assessment is administered midway, in the course of some unit instructions (Andrade & Cizek, 2010:3). The reason for this is to give feedback during training to allow for some adjustments to be implemented whenever necessary, in order to improve the learner achievement (Melmer *et al.,* 2008).

4.5 Compensation

The institutions understudy need to monitor and assess compensation policies and practices against the needs of these institutions, and they should match the results of the assessment with the set goals of the function. The characteristics of compensation policies and practices that need to be monitored and evaluated include (Armstrong & Murlis, 2007:492):

- Availability of genuine, advanced and consistent compensation strategies,
- Improvement towards developing the entire compensation method,
- The pragmatism and extensiveness of compensation policies and how effectively they are implemented,
- The efficiency of the job analysis structure from the point of the level to which it has perished,
- How pertinent the job analysis structure is, to the currently employed preparations, the extent to which it offers the source for reasonable and impartial ranking decisions, and for averting grade float and whether or not it is too inflexible or laborious,
- Advancement towards accomplishing equivalent compensation for work of equal value,
- The existence of precise and functional information on market rates,
- The relevance of the grade and compensation structure expending the standards set out as the foundation for evaluation,
- The circulation of real payments and the level to which it fits in to policy guidelines

by mid-point management as defined below,

- The point to which salary levels are reasonable and add to the appealing and preservation of superior-quality staff,
- The money's worth is being attained from the provisional salary preparations pertaining to their costs and benefits,
- The prevalence of attrition to salary costs that happens when employees enter positions at lower levels of salary than the previous position holder and the effects for the compensation policy,
- The efficiency of performance management processes with reference to how they operate in terms of accomplishing full compensation goals, and the superiority of the results as means of advising contingent pay decisions.

The evaluation should focus on the salary administration, bonus and incentive plans, garnishments and withholdings and FLSA exemptions (The Arnold Group, 2004). The fairness of compensation system could be evaluated on at least the following dimensions (Cascio, 2010:421):

i) Internal equity.

Are the rates fair in relation to value of individual work to an organisation.

ii) External equity.

Are the salaries paid by an organisation fair in relation to the competitive market rates outside the organisation?

iii) Individual equity.

Is each individual‘s salary fair in relation to that of other individuals doing similar work?

4.6 Industrial/employee relations.

The industrial relations function is also one of the HRM functions covered by human resource evaluation that should be evaluated by both institutions (Durai, 2010:566). The evaluation of this function determines the appropriateness and quality of relationship between union and management (Deb, 2009: 460). Evaluating the institutional industrial relations by only examining negotiation processes is not enough. It must incorporate an evaluation of actors' strategies, behaviours, and perceptions at functional level of collective negotiations, strategic and workplace levels. It must not only assess each of the levels of activities separately, but also examine whether the state of employee relations, at each of these levels, is in alignment (Lewin *et al.,* 2011:3).

5. CONCLUSION.

The findings of the study undertaken at tertiary institutions in the Western Cape cannot be generalised to all the institutions because of the exploratory nature of the study. Further quantitative studies could prove useful to cast the net wider in order to probe the status quo regarding HRM practices at institutions in the whole province. However, the results of this study served as a basis to develop an instrument whereby institutions could evaluate various HRM functions, as well as the HRM function as a whole.

In chapter 7 the application of the Human Resource Management instrument is demonstrated.

CHAPTER 7
APPLICATION OF THE PERFORMANCE ASSESSMENT QUESTIONNAIRE (PAQ-HRM) AND THE DEVELOPMENT OF A MODEL FOR THE EVALUATION OF HUMAN RESOURCE MANAGEMENT FUNCTIONS.

1. INTRODUCTION.

This chapter presents the Performance Assessment Questionnaire – Human Resource Management (PAQ-HRM), and the 9-phase model for evaluating HRM function that were developed by the researcher. The PAQ-HRM was used to gather data from two tertiary institutions. The main objective of using such a questionnaire was to determine the present status of the implementation of the studied HRM functions, (e.g. recruitment, selection, performance management, compensation and benefits, training and development and industrial relations), in order to apply relevant remedies where indicated. The use of such an assessment questionnaire is of value because it is not only useful to improve upon the functioning of the HRM department, but can also serve as feedback for management on the performance of the HRM department, and assist in moving HRM towards a fully-fledged strategic management partner. The 9-phase model was developed specifically for tertiary institutions, and it is discussed in detail in this chapter.

2. THE HRM FUNCTIONS' WEIGHTING FOR INSTITUTIONS A AND B.

2.1 Introduction

This section presents the ratings from participants taken from the HRM evaluation questionnaire, completed by the HRM Executive Directors from both institutions after the completion of the HRM evaluation questionnaire by the HR personnel and their clients, as well as the interviews with regard to recruitment, selection, performance management, training and development and industrial relations functions. The reason for their inclusion in the completion of the HRM evaluation questionnaire was because

they had first-hand knowledge of the HRM functions, and these formed part of their key performance areas.

Since qualitative researchers become absorbed in the situations and phenomena studied, they assume an active participatory role (McMillan & Schumacher, 2006:317). Hitchcock and Hughes (2002:98) also state that the features of qualitative research with its emphasis on the researchers' involvement, means that the researchers are an essential part of a qualitative study. Because of the qualitative nature of this study (Ch.4 3.1 p.287,288), the researcher was also involved in the completion of the evaluation questionnaire, and the reason for this was to present her views based on her observation of the reactions and responses of the respondents during interviewing, and also to compare her ratings to those of the HRM Executive Directors from both institutions A and B.

2.2 Responses from the HR Executive Directors from both Institutions, and the Researcher.

This section presents the number and designations of the respondents who completed the HRM evaluation questionnaire.

This section was completed by:

vii. The HRM Executive Director of Institution A.
viii. The HRM Executive Director of Institution B, and
ix. The researcher.

2.3 Ratings on the Recruitment Function.

This section presents Table 7.1 with the ratings of the HRM Executive Directors from both institutions as well as the researcher.

Table 7.1: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Recruitment).

STATEMENT	Weighting	INSTITUTION A Rating		INSTITUTION B Rating	
		Executive Director	Researcher	Executive Director	Researcher
1. A written recruitment policy is in place.	10	8	10	5	10
2. There are proper recruitment processes and procedures in place.	10	8	10	8	10
3. Recruitment staff adhere to the policy.	10	8	0	8	0
4. The recruitment policy has been communicated to all stakeholders.	10	5	0	4	0
5. The recruitment function is evaluated annually.	10	3	0	4	0
6. The recruitment policy is reviewed annually.	10	5	0	6	0
7. Appropriate media are used for recruitment.	10	6	10	7	10
8. All stakeholders are consulted in the formulation and amendments of the policy.	10	5	0	6	0
9. The policy is implemented in compliance with the labour legislation.	10	8	0	8	0
TOTAL (MAXIMUM 90)	**90**	**56**	**30**	**56**	**30**
EFFECTIVENESS OF RECRUITMENT (x/90)%.	**100**	**62.2**	**33,3**	**62.2**	**33,3**
MEAN RATING: RECRUITMENT.		**47,7**		**47.7**	

2.4 Analysis and Interpretation of the Recruitment Function (Table 7.1).

The 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.4.1 Institution A.

2.4.1.1 Statements 1, 2 and 7.

The researcher was in agreement with the HRM Executive Director on the ratings of statements 1, 2 and 7. Statements 1 and 2 and were given a high rating of 8 each, and statement 7 a rating of 6. The researcher gave a high rating of 10 for each of the three statements. The reason for the researcher giving such high ratings was because there was evidence that the recruitment policy and procedures were in place, and that appropriate media was used by the institution for recruitment (e.g. Sunday Times, the institutions' website, etc.).

2.4.1.2 Statements 4 to 6 and 8.

However, statements 4 to 6 and 8 were given ratings ranging between 3 and 5, by the respondent, while the researcher gave them a 0 rating each. The reason for this was because the respondent could not provide any evidence to prove that the rest of the functions were carried out to the extent required. The low ratings by the respondent suggest that parts of this function were in need of serious intervention to enhance its effectiveness.

2.4.1.3 Mean rating of the recruitment function.

The mean rating of the recruitment function for institution A was as low as 47.7%, which is an indication that this function needed some severe intervention.

2.4.2 Institution B.

2.4.2.1 Statements 1, 2 and 7.

The researcher was in agreement with the Executive Director on the ratings of statements 2 and 7. These received high ratings of 8 and 7 respectively, while the researcher gave a high rating of 10 for each of statements 1, 2 and 7. The reason for this was because the researcher was provided with proof that there was a recruitment policy, proper recruitment processes and procedures, as well as proper media used for the recruitment purposes.

2.4.2.2 Statements 1, 4 and 5.

The respondent gave statements 1, 4 and 5, low ratings ranging between 4 and 5, while statement 4 and 5 received a 0 rating each by the researcher. This was because there was lack of evidence to indicate that these functions were executed to some extent. These low ratings suggest that parts of this function were in need of intervention to ensure the effectiveness of the function.

2.4.2.3 The mean rating of the recruitment function.

The mean rating of this function was as low as 47.7% suggesting that this function needed serious intervention, to improve its effectiveness.

2.5 Responses on the Overall Effectiveness of the Recruitment Function.

This section presents Table 7.2 with the ratings of the overall effectiveness of the recruitment function by respondents from both institutions.

Table 7.2: Ratings by HR Staff, HR Clients, Executive Directors and the researcher of the Overall Effectiveness of the Recruitment Function.

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	95.7	**HR Staff**	86.3
HR Clients	70.4	**HR Clients**	47.7
Executive Director	62.2	**Executive Director**	62.2
Researcher	33.3	**Researcher**	33.3
MEAN	**65.4**	**MEAN**	**57.3**

2.6 Analysis and Interpretation of the Recruitment Function (Table 7.2).

2.6.1 Institution A.

The mean rating of the recruitment function for institution A, in Table 7.2 is 65.4%, but when comparing it with the mean rating of this function in Table 7.1 (47.7), it is 17.7% higher than the mean rating in Table 7.1. It is clear that HR staff members are to a large extent blind for their own shortcomings. This is why the PAQ-HRM is valuable, since it measures performance against objective criteria. The HR staffs' high ratings are an indication that they are ignorant of performance criteria, or they are not held to set performance criteria. Ratings are also a function of perspective, as such, it is to be expected that Directors would differ markedly from staff. The question is: who is closer to the truth? Or who is the most objective? I would say it is the researcher followed by the clients, because of the former's impartiality, and the latter's first-hand experience of the services rendered.

2.6.2 Institution B.

The recruitment function's mean rating in Table 7.2 is 57.3%, and when comparing it

with the mean rating of the recruitment function in Table 7.1 (47.7), it is 9.6% higher than this rating. The difference in the mean ratings of these Tables indicates that HR staff members are to some extent ignorant of their own inadequacies. This is why PAQ-HRM is of great value, because it measures performance against impartial criteria. The HR staff's high ratings suggest that they are unaccustomed to the performance criteria, or they are not held to set performance criteria. Ratings are also a function of perception – the Directors are likely to differ significantly from staff. To find out: who is closer to the truth? Or is the most impartial? The answer would be: the researcher followed by the clients, because of the former's objectivity, and the latter's first-hand experience of the services rendered.

2.7 Ratings on the Selection Function.

This section presents Table 7.3 with the ratings of the HRM Executive Directors from both institutions and the researcher.

Table 7.3: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Selection).

STATEMENTS	Weighting	INSTITUTION A Rating		INSTITUTION B Rating	
		Executive Director	Researcher	Executive Director	Researcher
1. A written selection policy is in place.	10	8	10	7	10
2. The selection staff members adhere to the selection policy.	10	8	0	8	0
3. All legal requirements are met.	10	8	0	5	0
4. Interviewers ask questions that are legal.	10	8	0	7	0
5. Interviewers ask questions that elicit information which is behaviourally-based.	10	7	0	5	0
6. Adequate testing is done before extending an offer to ensure that the person has the appropriate skills, knowledge and style to be successful in the position.	10	7	0	2	0
7. Background checking is done before extending an offer to ensure that the person has given accurate information.	10	7	0	6	0
8. There is a clear process in place for the notification of candidates.	10	6	0	7	0
9. The selection policy is reviewed annually.	10	5	0	4	0
10. The selection process is evaluated annually.	10	5	0	4	0
11. All stakeholders are consulted in the formulation and amendment of the selection policy.	10	5	0	6	0

Table 7.3: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Selection) (cont'd).

STATEMENTS	Weighting	INSTITUTION A Rating		INSTITUTION B Rating	
		Executive Director	Researcher	Executive Director	Researcher
12. There is consistency between policies.	10	7	0	7	0
13. There is consistency between practices.	10	7	0	3	0
TOTAL (130 MAXIMUM)	**130**	**88**	**10**	**71**	**10**
EFFECTIVENESS OF SELECTION (X/130%)	**100**	**67.6**	**7.6**	**54.6**	**7.6**
MEAN RATING: SELECTION		**37.6**		**31.1**	

2.8 Analysis and Interpretation of the Selection Function (Table 7.3.)

The 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.8.1 Institution A.

2.8.1.1 Statement 1.

The researcher was in agreement with the Executive Director on the rating of statement 1, which was given a high rating of 8 by the Executive Director and a high rating of 10 by the researcher, with the exclusion of the other statements. The

reason for this was because there was evidence provided that the selection policy was in existence at this institution.

2.8.1.2 Statements 9 to 11.

However, statements 9 to 11 were given ratings of 5 each by the respondent. These low ratings reveal that parts of this function are in need of intervention, in order to improve its effectiveness. The researcher gave a 0 rating to all the other statements, since there was no evidence to prove that these functions were carried out to a large extent.

2.8.1.3 Mean ratings of the selection function.

The mean ratings of this function were as low as 37.6%, and this is an indication that this function needed extremely severe intervention, to improve its effectiveness.

2.8.2 Institution B.

2.8.2.1 Statements 1.

The researcher was in agreement with the Executive Director at this institution on statement 1, which was given a high rating of 7 by the respondent and a high rating of 10 by the researcher with the exception of other statements. The reason for this was because there was documentary proof to substantiate the respondent's claim.

2.8.2.2. Statement 3, 5, 6, 9, 10 and 13.

However, statements 3, 5, 6, 9,10 and 13 were provided with low ratings, ranging between 2 and 5 by the Executive Director as compared to the rest of the statements in this function. This was an indication that this function needed some intervention to improve its effectiveness. The researcher also gave 0 ratings for the rest of these statements, since there was lack of proof indicating that these functions were carried

out as stated.

2.8.2.3 Mean ratings of the selection function.

The mean ratings of this function was as low as 31.1% which shows that parts of this function needed some rigorous intervention.

2.9 Responses on the Overall Effectiveness of the Selection Function.

This section presents Table 7.4 with the ratings of the overall effectiveness of the selection function by the respondents from both institutions.

Table 7.4: Ratings by HR staff, HR clients, Executive Directors and the researcher of the overal

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	**95.8**	**HR Staff**	**86.6**
HR Clients	**77.6**	**HR Clients**	**53.6**
Executive Director	**67.6**	**Executive Director**	**54.6**
Researcher	**7.6**	**Researcher**	**7.6**
MEAN	**62.1**	**MEAN**	**50.6**

2.10 Analysis and Interpretation of the Selection Function (Table 7.4).

2.10.1 Institution A.

The selection function for institution A's mean ratings in Table 7.4 is 62.1%, but when comparing it with the mean rating in Table 7.3 (37.6), the difference is 24.5% higher than the mean rating in Table 7.3. This shows that HR staff members are to a large extent oblivious of their own deficiencies. This is why PAQ-HRM is significant, since it measures performance against unbiased criteria. The staff's high ratings are an

indication that they are ignorant of performance criteria, or they are not held to set performance criteria. Ratings are also a function of perspective – it is to be expected that Directors would differ obviously from staff. To find out: who is nearer to the truth, or the most impartial. The answer would be: the researcher, followed by the clients, because of the former's fairness, and the latter's first-hand experience of the services rendered.

2.10.2 Institution B.

The recruitment function's mean rating in Table 7.2 is 50.6%, and when comparing it with the mean rating of the recruitment function in Table 7.1 (47.7), Table 7.2 is 9.6% higher. The difference in the mean ratings of these Tables indicates that HR staff members are to some extent ignorant of their own inadequacies. This is why PAQ-HRM is of great value, because it measures performance against impartial criteria. The HR staff's high ratings suggest that they are unaccustomed to the performance criteria, or they are not held to set performance criteria. Ratings are also a function of perception – the Directors are likely to differ significantly from staff. The question is: who is closer to the truth? Or who is the most objective? I would say it is the researcher followed by the clients, because of the former's impartiality and the latter's first-hand experience of the services rendered.

2.11 Ratings on the Performance Management Function.

This section presents Table 7.5 with the ratings of the HRM Executive Directors from both institutions and the researcher.

Table 7.5: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Performance Management).

STATEMENTS	Weighting	INSTITUTION A Rating		INSTITUTION B Rating	
		Executive Director	Researcher	Executive Director	Researcher
1. A written performance management policy is in place.	10	8	10	7	10
2. There is a performance management system in place.	10	8	10	7	10
3. The process of employee performance evaluation is in place.	10	6	10	6	10
4. There are proper performance management processes and procedures in place.	10	6	10	4	10
5. Copies of job descriptions are in each personnel file.	10	6	0	8	0
6. Copies of performance improvement plans are in each personnel file.	10	6	0	3	0
7. The performance management policy is communicated to all stakeholders.	10	6	0	5	0
8. The policy is implemented in compliance with the legislation.	10	7	0	6	0
9. The performance management system is evaluated annually.	10	5	0	4	0
10. The performance management policy is reviewed regularly.	10	7	0	4	0
11. The employee performance review is done quarterly.	10	7	0	4	0

Table 7.5: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Performance Management) (cont'd).

STATEMENTS	Weighting	INSTITUTION A Rating		INSTITUTION B Rating	
		Executive Director	Researcher	Executive Director	Researcher
12. Performance is tied to compensation.	10	7	0	1	0
13. Managers are involved in setting realistic performance objectives for employees that encourage continuous improvement .	10	7	0	4	0
14. Managers are involved in identifying knowledge, skills and behaviours needed by employees to achieve the necessary performance standards.	10	6	0	5	0
TOTAL (140 MAXIMUM)	**140**	**92**	**40**	**68**	**40**
EFFECTIVENESS OF PERFORMANCE MANAGEMENT (X/140%)	**100**	**65.7**	**28.5**	**48.5**	**28.5**
MEAN RATING: PERFORMANCE MANAGEMENT		**47.1%**		**38.5%**	

2.12 Analysis and Interpretation of the performance management function (Table 7.5).

A 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.12.1 Institution A.

2.12.1.1 Statements 1 to 4.

The researcher was in agreement with the Executive Director from Institution A on the ratings of statements 1 and 2, which were given a high rating of 8 each by the respondent and statements 3 and 4 a rating of 6 each. The researcher gave a high rating of 10 each. This was because she had documentary proof to show that these functions were carried out to a large extent.

2.12.1.2 Statement 9.

However, statements 9 was given a lowest rating of 5 as compared to other statements by the respondent, this suggests that parts of this function needed intervention to improve its effectiveness. The researcher also gave the same statement a 0 rating, since there was no evidence to prove that the performance management system was evaluated annually.

2.12.1.3 Mean rating of the performance management function.

The mean ratings of performance management function was as low as 47.1% which indicates that parts of this function needed severe intervention to develop its effectiveness.

2.12.2 Institution B.

2.12.2.1 Statements 1 to 3.

The researcher was in agreement with the Executive Director at Institution B on the rating of statements 1 to 3 which were given a high rating of 10 each by the researcher, and the respondent gave statement 1 and 2 a rating of 7 each, while statement 3

received a rating of 6. This was because the performance management policy, the employee evaluation process, as well as the performance management processes and procedures were available at this institution.

2.12.2.2 Statements 4, 6, 7, 9 to 14.

The respondent gave statements 4, 6, 7, 9 to 14 low ratings ranging between 1 and 5, while the researcher gave a 0 rating each, with the exception of statements 4 which was given a high rating of 10 by the researcher. These low ratings imply that parts of the performance management function needed some serious intervention to enhance its effectiveness. However a high rating of statement 4 by the researcher was because she had documentary proof indicating that there were proper performance management processes and procedures in place. This could mean that even if the processes and procedures were in existence at this institution, they were not properly implemented, hence the low ratings by the Director.

2.12.2.3 Mean ratings of performance management function.

The mean rating of the performance management function for institution B was as low as 38.5%. This low mean rating is an indication that parts of the performance management function required rigorous intervention to enhance its effectiveness.

2.13 Responses on the Overall Effectiveness of the Performance Management Function

This section presents Table 7.6 with the ratings of the overall effectiveness of the performance management function by respondents from both institutions.

Table 7.6: Ratings by HR staff, HR clients, Executive Directors and the researcher on the overall effectiveness of the performance management function.

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	**90.2**	**HR Staff**	**21**
HR Clients	**79.9**	**HR Clients**	**40.1**
Executive Director	**65.7**	**Executive Director**	**48.5**
Researcher	**28.5**	**Researcher**	**28.5**
MEAN	**66**	**MEAN**	**34.5**

2.14 Analysis and Interpretation of the Performance Management Function (Table 7.6).

2.14.1 Institution A.

The performance management function's mean ratings in Table 7.6 is 66%, but when comparing it with the mean rating in Table 7.5 (47.1), the difference is 18.9% higher than the mean rating of Table 7.5 This indicates that HR staff members are to a large extent blind for their own shortcomings. This is why PAQ-HRM is significant, since it measures performance against impartial criteria. The staff's high ratings are an indication that they are unaware of performance criteria, or they are not held to set performance criteria. To find out: who is closer to the truth, or the most objective, in this case, is the researcher followed by the clients, because of the former's impartiality and the latter's first-hand experience of the services rendered.

2.14.2 Institution B.

The mean rating of performance management function in Table 7.6 is 34.5%, and when comparing it with the mean rating of this function in Table 7.5 (38.4), there is not much difference (3.9%). This indicates that HR staff members are to some extent aware of

their own inadequacies. This is why PAQ-HRM is of great value, because it measures performance against impartial criteria. The HR staff's ratings suggest that they are familiar with the performance criteria, or they are held to set performance criteria. Ratings are also a function of perception – the Directors are likely to differ significantly from staff. To establish who is nearer to the truth, or most objective, it would be: the researcher, followed by the HR staff, because of the former's fairness, and the latter's experience of the service-delivery to clients.

2.15 Ratings on the Compensation and Benefits Function.

This section presents Table 7.7 with the ratings of the HRM Executive Directors from both institutions and the researcher.

Table 7.7: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Compensation and Benefits).

STATEMENTS	Weighting	INSTITUTION A Weighting Points		INSTITUTION B Weighting Points	
		Executive Director	Researcher	Executive Director	Researcher
1. A written compensation and benefits policy is in place.	10	8	10	3	10
2. The compensation policy is communicated to all stakeholders.	10	6	0	3	0
3. Local markets evaluation is done annually to ensure external equity.	10	8	0	7	0
4. Compensation levels are monitored and reviewed.	10	8	0	7	0
5. There is a formal pay structure.	10	7	10	8	10
6. The compensation plan is communicated to all stakeholders.	10	6	10	4	10
7. Employees are informed about their benefits.	10	8	10	4	10
8. Compensation systems and processes are evaluated regularly.	10	8	0	6	0
9. The compensation policy is evaluated annually.	10	8	0	2	0
10.All stakeholders are consulted in the review of the policy.	10	8	0	4	0
11.The processes are consistently followed.	10	7	0	2	0
12.Employers cannot make deductions from the employees' salaries without their approval.	10	10	10	9	10
13.Stakeholders are consulted in the formulation and amendments of the policy.	10	7	0	6	0

Table 7.7: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Compensation and Benefits). (cont'd).

STATEMENTS	Weighting	INSTITUTION A Weighting Points		INSTITUTION B Weighting Points	
		Executive Director	Researcher	Executive Director	Researcher
14.Compensation staff members adhere to the compensation policy.	10	7	0	7	0
TOTAL (140 MAXIMUM)	**140**	**106**	**50**	**72**	**50**
EFFECTIVENESS OF COMPENSATION AND BENEFITS (X/140)	**100**	**75.7**	**35.7**	**51.4**	**35.7**
MEAN RATING: COMPENSATION AND BENEFITS		**55.7%**		**43.5%**	

2.16 Analysis and interpretation compensation and benefits (Table 7.7).

A 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.16.1 Institution A.

2.16.1.1 Statements 1, 5 to 7 and 12.

The researcher was in agreement with the respondent on the ratings of statements 1, 5 to 7 and 12 which were given high ratings ranging between 6 and 10 by the Executive Director, and the researcher gave a high rating of 10 each. The reason for this was that the evidence was provided regarding the existence of a written compensation policy, a formal pay structure and

proof that employees were informed of their benefits at this institution. There were no lower ratings by the respondents, except by the researcher to the rest of the statements that she gave a 0 rating. This was because the respondents could not substantiate their claim.

2.16.1.2 Mean ratings of compensation and benefits function.

The mean rating of the compensation and benefits function was 55.7% (Table 7.7) showing that parts of this function need serious intervention to ensure that it is completely effective.

2.16.2 Institution B.

2.16.2.1 Statements 5 and 12.

The researcher was in agreement with the respondent in statements 5 and 12, which were given high ratings of 10 each by the researcher, and the Executive Director gave high ratings between 8 and 9. This was because the researcher was provided with documentary evidence indicating that these functions existed.

2.16.2.2 Statements 1, 2, 6, 7, 9 to 11.

The HRM Executive Director's ratings on statements 2, 6, 9 to 11 range between 2 and 4, which are the lowest ratings as compared to other statements. These lowest ratings imply that parts of this function need some serious intervention to improve its effectiveness. The researcher also gave these statements 0 ratings because the respondents could not substantiate their claim. However she gave statements 1, 7, high ratings of 10 each, since there was documentary proof provided regarding the existence of a written compensation policy, and that employees were informed about their benefits. But the respondent still gave these statements (1 & 7) the lowest ratings even though there was documentary proof. This could mean that these were not properly

implemented, hence the low ratings from the Executive Director. It is likely that a company may have the best policies and systems in place, but their success depends on how they are executed.

2.16.2.3 Mean ratings: compensation and benefits function.

The mean rating of the compensation and benefits function was 43.5% (Table 7.7) showing that parts of this function need severe intervention to enhance its effectiveness.

2.17 Responses on the Overall Effectiveness of the Compensation and Benefits Function.

This section presents Table 7.8 with the ratings of the overall effectiveness of the compensation and benefits function by respondents from both institutions.

Table 7.8: Ratings by HR staff, HR clients, Executive Directors and the researcher of the overall effectiveness of the compensation and benefits function

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	**96.9**	**HR Staff**	**86**
HR Clients	**77**	**HR Clients**	**37.9**
Executive Director	**75.7**	**Executive Director**	**51.4**
Researcher	**35.7**	**Researcher**	**35.7**
MEAN	**71.3**	**MEAN**	**52.7**

2.18 Analysis and Interpretation of the Compensation and Benefits Function (Table 7.8).

2.18.1 Institution A.

The mean rating for the compensation and benefits function for institution A in Table 7.8 is 71.3%, but when comparing it with the mean rating in Table 7.7 (55.7), the difference is 15.6% lower than the mean rating of Table 7.8. This indicates that HR staff members are to a large extent unaware for their own inadequacies. This is why PAQ-HRM is essential, because it measures performance against objective criteria. The staff's high ratings are an indication that they are ignorant of performance criteria, or they are not held to set performance criteria. To find out: who is closer to the truth, or the most objective, in this case, is the researcher followed by the clients, because of the former's objectivity and the latter's first-hand experience of the services rendered.

2.18.2 Institution B.

The mean rating in Table 7.8 of compensation and benefits is 52.7%, and when comparing it with the mean rating in Table 7.7 (43.5), it is 9.2% it is slightly higher than the mean rating in Table 7.7. It is obvious that HR staff members are to some extent ignorant of their own shortfalls. This is why PAQ-HRM is valuable, because it measures performance against objective criteria. The HR staff's high ratings suggest that they are familiar with the performance criteria, or they are held to set performance criteria. Ratings are also a function of perspective – the Directors are likely to differ significantly from staff. The question is: who is closer to the truth? Or who is the most objective? I would say it is the researcher followed by the clients, because of the former's impartiality and the latter's first-hand experience of the services rendered.

2.19 Ratings on the Training and Development Function.

This section presents Table 7.9 with the ratings of the HRM Executive Directors from both institutions and the researcher.

Table 7.9: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Training and Development).

STATEMENTS	Weighting	INSTITUTION A Weighting Points		INSTITUTION B Weighting Points	
		Executive Director	Researcher	Executive Director	Researcher
1. A written training and development policy is in place.	10	8	10	3	10
2. A training and development system is in place.	10	6	10	8	10
3. There are proper training processes and procedures in place.	10	6	10	7	10
4. There are staff development programmes in place.	10	6	10	7	10
5. The training and development function is regularly evaluated.	10	6	0	6	0
6. Employee orientation is conducted.	10	8	0	7	0
7. The same training processes are used for different levels positions.	10	7	0	5	0
8. The policy is communicated to all stakeholders.	10	6	0	4	0
9. All training is job-related..	10	6	0	3	0
10. Stakeholders are consulted in the formulation and amendments of the policy.	10	7	0	6	0
11. The training and development policy is reviewed regularly.	10	7	0	7	0
12. The policy is implemented in compliance with the labour legislation.	10	8	0	6	0
13. The training programmes are designed in accordance with the employee needs.	10	7	0	8	0
TOTAL (130 MAXIMUM)	**130**	**88**	**40**	**77**	**40**
EFFECTIVENESS OF TRAINING AND DEVELOPMENT (X/130%)	**100**	**67.6**	**30.7**	**59.2**	**30.7**
MEAN RATING: TRAINING AND DEVELOPMENT		**49.1%**		**44.9%**	

2.20 Analysis and Interpretation (Table 7.9).

A 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.20.1 Institution A.

2.20.1.1 Statements 1 to 4.

The researcher was in agreement with the Executive Director on the rating of statements 1 to 4 which were given a high rating ranging between 6 and 8 by the respondent and a high rating of 10 each by the researcher. This was because the respondents provided proof for their claims.

2.20.1.2 Statements 5 to 13.

The researcher could not agree with the respondent on statements 5 to 13. The researcher gave statements 5 to 13 a zero rating, while the Executive Director gave them high ratings ranging between 6 and 8. This was based on lack of evidence indicating that these functions were carried out to the required extent.

2.20.1.3 Mean rating of training and development function.

The mean rating of the training and development function was 49.1% (Table 7.9) indicating that parts of this function needed severe intervention to improve its effectiveness.

2.20.2 Institution B.

2.20.2.1 Statements 2 to 4.

The researcher was in agreement with the respondent on the ratings of statements 2 to 4, with a high rating of 10 each by the researcher, and ratings ranging between 7 and 8 by the respondent. The reason for this was that the researcher was given evidence that the training and development system, the training processes and procedures, and the staff development programmes were in existence at institution B.

2.20.2.2 Statements 1, 5 to 9.

However, statements 1 and 5 to 13 were given low ratings ranging from 3 and 5, by the respondent, while the researcher gave statement 1 a high rating of 10 and this was because there was a written policy in place. The low ratings by the Executive Director show that parts of this function need some serious intervention to improve its effectiveness. The researcher gave the rest of the statements 0 ratings, since no proof was provided to substantiate the respondents claim.

2.20.2.3 Mean rating: training and development function.

The mean rating of the training and development function was as low as 44.9% (Table 7.9). The low ratings show that parts of this function need serious intervention to enhance its effectiveness.

2.21 Responses on the Overall Effectiveness of the Training and Development Function.

This section presents Table 7.10 with the ratings of the overall effectiveness of the training and development function by the respondents from both institutions.

Table 7.10: Ratings by HR staff, HR clients, Executive Directors and the researcher of the overall effectiveness of the training and development function.

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	**89.2**	**HR Staff**	**94.2**
HR Clients	**70.6**	**HR Clients**	**61**
Executive Director	**67.6**	**Executive Director**	**59.2**
Researcher	**30.7**	**Researcher**	**30.7**
MEAN	**64.5**	**MEAN**	**61.3**

2.22 Analysis and Interpretation of the Training and Development Function (Table 7.10).

2.22.1 Institution A.

The training and development for institution A's mean ratings in Table 7.10 is 64.5%, but when comparing it with the mean rating in Table 7.9 (49.1%), the difference is 15.4% higher than the mean rating of Table 7.9. This suggests that HR staff members are to a large extent unaware for their own inadequacies. This is why PAQ-HRM is essential, because it measures performance against objective criteria. The staff's high ratings are an indication that they are ignorant of performance criteria, or they are not held to set performance criteria. To find out: who is closer to the truth, or the most objective, in this case, is the researcher followed by the clients, because of the former's objectivity and the latter's first-hand experience of the services rendered.

2.22.2 Institution B.

The training and development function's mean rating in Table 7.10 is 61.2%, and when comparing it with the mean rating of this function in Table 7.9 (44.9%), it is 16.3% higher than the mean rating in Table 7.9. It is obvious that HR staff members are to some

extent ignorant of their own shortfalls. This is why PAQ-HRM is valuable, because it measures performance against objective criteria. The HR staff's high ratings suggest that they are familiar with the performance criteria, or they are held to set performance criteria. Ratings are also a function of perspective – the Directors are likely to differ significantly from staff. The question is: who is closer to the truth? Or who is the most objective? I would say it is the researcher followed by the clients, because of the former's impartiality and the latter's first-hand experience of the services rendered.

2.23 Responses on the Overall Effectiveness of the Industrial Relations Function

This section presents Table 7.11 with the ratings of the HR Executive Directors from both institutions and the researcher.

Table 7.11: Ratings of the two respondents on the statements of the HRM evaluation questionnaire (Industrial Relations).

STATEMENTS	Weighting	INSTITUTION A Weighting Points		INSTITUTION B Weighting Points	
		Executive Director	Researcher	Executive Director	Researcher
1. There is an industrial relations policy in place.	10	8	10	8	10
2. The policy covers all types of misconduct and disciplinary procedures thereof.	10	8	10	8	10
3. The industrial relations function is evaluated regularly.	10	6	0	6	0
4. There are grievance procedures in place.	10	9	10	8	10
5. There are union representatives in place.	10	9	10	8	10
6. Workplace forums function to the best of their ability.	10	7	0	9	0
7. There is a low rate of grievances handled in the institution.	10	0	0	2	0
8. There is a follow-up evaluation process in place after disciplinary action.	10	8	0	4	0
9. There are collective agreements with unions in place.	10	8	10	9	10
10.Grievance procedures are handled in a fair and consistent manner.	10	8	0	6	0
11.Grievance procedures are communicated to stakeholders.	10	8	0	7	0
12.Disciplinary actions are communicated to employees.	10	8	0	5	0

Table 7:11 Ratings of the three respondents on the statements of the HRM evaluation questionnaire (Industrial Relations) (Contd.').

STATEMENTS	Weighting	INSTITUTION A Weighting Points		INSTITUTION B Weighting Points	
		Executive Director	Researcher	Executive Director	Researcher
13.Disciplinary actions are conducted in a fair and consistent manner.	10	9	0	5	0
14.Harassment is covered in the policy.	10	9	10	8	10
15.The policy covers violent actions.	10	9	10	8	10
16.Progressive discipline is covered in the policy.	10	9	10	8	10
17.The policy covers labour regulations.	10	9	10	9	10
18.The policy covers leave etc.	10	9	10	7	10
19.Stakeholders are consulted in the formulation and amendments of the policy.	10	9	0	8	0
20.The industrial relations policy is reviewed regularly.	10	7	0	6	0
TOTAL (200 MAXIMUM)	**200**	**157**	**100**	**139**	**100**
EFFECTIVENESS OF INDUSTRIAL RELATIONS (X/200)	**100**	**78.5**	**50**	**69.5**	**50**
MEAN RATING: INDUSTRIAL RELATIONS		**64.2%**		**59.7%**	

2.24 Analysis and Interpretation (Table 7.11).

The 10-point rating scale was used for each of the criterion statements, indicating that all the statements carried equal weight.

2.24.1 Institution A.

2.24.1.1 Statements 1, 2, 4, 5, 9, 14 to 18.

The researcher was in agreement with the respondent on the ratings of statements 1, 2, 4, 5, 9, 14 to 18, which were given high ratings between 6 and 9 by the respondent, and 10 each by the researcher. This was based on the fact that there was proof that all the items and functions mentioned in the said statements did exist, or they were performed.

2.24.1.2 Statement 7.

However, statements 7 was given a 0 rating by both the respondents and the researcher and shows that parts of this function need some serious intervention to improve its effectiveness.

2.24.1.3 Mean ratings: industrial relations function

The mean rating of the industrial relations function in Table 7.11 is 64.2%, and is indicating that parts of this function need some intervention to enhance its effectiveness.

2.24.2 Institution B

2.24.2.1 Statements 1, 2, 4, 5, 9, 14 to 18.

The researcher was in agreement with the respondent at Institution B on the ratings of Statements 1, 2, 4, 5, 9, 14 to 18, which were given high ratings ranging between 7 and 9, and the researcher gave them high ratings of 10. The reason for this was

because proof was provided to indicate that these statements were correct.

2.24.2.2 Statements 7, 8, 12 and 13.

However, the respondent gave low ratings to statements 7, 8, 12 and 13 ranging between 2 and 5, while the researcher gave them a 0 rating each. This shows that parts of this function are in need of intervention to enhance its effectiveness.

2.24.2.3 Mean ratings: industrial relations functions.

The mean rating of the industrial relations function in Table 7.11 is 59.7%, and is indicating that parts of this function need some intervention to improve its effectiveness.

2.25 Responses on the Overall Effectiveness of the Industrial Relations Function.

This section presents Table 7.12 with the ratings of the overall effectiveness of the industrial relations function by respondents from both institutions.

Table 7.12: Ratings by HR staff, HR clients, Executive Directors and the researcher of the overall effectiveness of the industrial relations function

INSTITUTION A		INSTITUTION B	
RATERS	**EFFECTIVENESS %**	**RATERS**	**EFFECTIVENESS %**
HR Staff	**92.9**	**HR Staff**	**92.7**
HR Clients	**79.5**	**HR Clients**	**45.9**
Executive Director	**78.5**	**Executive Director**	**69.5**
Researcher	**50**	**Researcher**	**50**
MEAN	**75.2**	**MEAN**	**64.5**

2.26 Analysis and Interpretation of the Industrial Relations Function (Table 7.12).

2.26.1 Institution A.

The industrial relations function's mean ratings in Table 7.12 is 75.2%, but compared to the mean rating in Table 7.11 (64.2%), the difference is 11% higher than the mean rating in Table 7.11. This shows that HR staff members are to a large extent unaware for their own inadequacies. This is why PAQ-HRM is essential, because it measures performance against objective criteria. The staff's high ratings are an indication that they are ignorant of performance criteria, or they are not held to set performance criteria. To find out: who is closer to the truth, or the most objective, in this case, is the researcher followed by the clients, because of the former's objectivity and the latter's first-hand experience of the services rendered.

2.26.2 Institution B.

The mean rating of industrial relations function in Table 7.12 is 64.5%, and when comparing it with the mean rating of this function in Table 7.11 (59.7%), it is 4.8% meaning that there is a slight difference. This suggests that HR staff members are to some extent ignorant of their own shortfalls. This is why PAQ-HRM is valuable, because it measures performance against objective criteria. The HR staff's high ratings suggest that they are not familiar with the performance criteria, or they are not held to set performance criteria. Ratings are also a function of perspective – the Directors are likely to differ significantly from staff. The question is: who is closer to the truth? Or who is the most objective? I would say it is the researcher followed by the clients, because of the former's impartiality and the latter's first-hand experience of the services rendered.

3. SUMMARY OF THE RESULTS OF THE PAQ-HRM FROM INSTITUTIONS A AND B.

This section presents a summary of the results of the HR evaluation questionnaire by the HR personnel, their clients, the Executive Directors and the researcher,

regarding the overall effectiveness of the HRM function at Institutions A and B.

3.1 Institution A.

Table 7.13 presents a summary of the ratings of the overall effectiveness of the six HR functions under study, namely, recruitment, selection, performance management, compensation and benefits, training and development, and industrial relations from Institution A.

7.13: Institution A – Summary of the Effectiveness of the HR Functions

	MEAN % - EFFECTIVENESS					
HR FUNCTIONS	**HR STAFF**	**HR CLIENTS**	**EXECUTIVE DIRECTOR**	**RESEARCHER**	**TOTAL**	**MEAN per function**
Recruitment	95.7	70.4	62.2	33.3	261.6	**65.4**
Selection	95.8	77.6	67.6	7.6	248.6	**62.1**
Performance Management	90.2	79.9	65.7	28.5	264.3	**66**
Compensation and Benefits	96.9	77	75.7	35.7	285.3	**71.3**
Training and development	89.2	70.6	67.6	30.7	258.1	**64.5**
Industrial Relations	92.9	79.5	78.5	50	300.9	**75.2**
MEAN (ALL FUNCTIONS)	**93.4**	**75.8**	**69.5**	**30.9**	**269.8**	**67.4**

3.2 Analysis and Interpretation of the Effectiveness of the HR Functions (Table 7.13).

3.2.1 Criteria used for assessing the effectiveness of the HRM functions.

In order to assess the degree to which the different HRM functions have been implemented effectively, the following criteria were formulated:

Table 7.14: The Criteria used for Assessing the Effectiveness of the Functions

<60	60-69	70-79	80+
Unacceptable; requires serious intervention	Average; requires intervention	Good; review specific weaknesses	Excellent

3.2.2 Industrial relations function.

Table 7.13 shows that the industrial relations function's overall effectiveness carried a high mean rating of 75.2%. This is a good rating and shows that it is one of functions that were properly implemented, although there are some specific weaknesses that need to be reviewed.

3.2.3 Compensation and benefits function.

The compensation function carried a mean rating of 71.3% for its overall effectiveness. This is also a good rating, and like industrial relations function was correctly executed. It has specific weaknesses that need reviewing.

3.3.4 Performance management function.

The management function's overall effectiveness carried an average rating of 66% which is lower that industrial relations and compensation management. This function requires some intervention to bring its effectiveness to an acceptable level of effectiveness, especially in statement 9 which received a low rating of 5 (Table 7.5).

3.3.5 Recruitment function.

The recruitment function received a mean rating of 65.4%, which is 0.6% lower than the performance management function. This also implies that it needs some intervention to enhance its effectiveness, especially in statements 4 to 6 and 8 which received low ratings ranging between 3 and 5 by the respondent (Table 7.1).

3.3.6 Training and development function.

Training and development function received an average rating of 64.5%, which indicates that it requires some intervention to improve its effectiveness.

3.3.7 Selection function.

The selection function received the lowest average rating of 62.1%. This rating indicates that this function was not properly implemented, and therefore, needs some intervention especially in statement 9 to 11 with ratings of 5 each by the respondent (Table 7.3).

3.3.8 HRM function.

The overall effectiveness of the HR function, as a whole, carried a mean rating of 67.4%, which is not bad at all, but needs some intervention to bring it to an acceptable effectiveness level.

3.4 Institution B.

Table 7.15 presents a summary of the ratings of the overall effectiveness of the six HRM functions under study, which include recruitment, selection, performance management, compensation and benefits, training and development, and industrial relations from Institution B.

Table 7.15: Institution B – Effectiveness of the HR Functions.

	MEAN % - EFFECTIVENESS					
HRM FUNCTIONS	**HR STAFF**	**HR CLIENTS**	**EXECUTIVE DIRECTOR**	**RESEARCHER**	**TOTAL**	**MEAN per function**
Recruitment	86.3	47.7	62.2	33.3	229.5	**57.3**
Selection	86.6	53.6	54.6	7.6	202.4	**50.6**
Performance Management	21	40.1	48.5	28.5	138.1	**34.5**
Compensation and Benefits	86	37.9	51.4	35.7	211	**52.7**
Training	94.2	61	59.2	30.7	245.1	**61.2**
Industrial Relations	92.7	45.9	69.5	50	258.1	**64.5**
MEAN (ALL FUNCTIONS)	**77.8**	**47.7**	**57.5**	**30.9**	**214**	**53.4**

3.5 Analysis and Interpretation of the Effectiveness of the HR Functions (Table 7.15).

3.5.1 Criteria used for assessing the effectiveness of the HRM functions.

In order to assess the degree to which the different HRM functions have been implemented effectively, the following criteria were formulated:

Table 7.16: The Criteria used for Assessing the Effectiveness of the Functions

<60	60-69	70-79	80+
Unacceptable; requires serious intervention	Average; requires intervention	Good; review specific weaknesses	Excellent

3.5.2 Industrial relations function.

Table 7.15 shows that the industrial relations function's overall effectiveness carried an average rating of 64.5%. This rating indicates that this function requires some intervention in order to improve its effectiveness, especially in statements 7, 8, 12 and 13 which received low ratings ranging between 2 and 5 (Table 7.10) by the respondent.

3.5.3 Training and development function.

The training and development function received a mean rating of 61.2% (Table 7.15), indicating that it requires some intervention to enhance its effectiveness, specifically in statements 1, 7, to 9 (Table 7.9) which received low ratings ranging between 3 and 5 by the respondent.

3.5.4 Recruitment function.

The recruitment function received an average rating of 57.3% (Table 7.15) which is unacceptable and requires intervention as a matter of urgency. Table 7.1 shows statements 1, 4 and 5 with low ratings ranging between 4 and 5, which require severe intervention to improve the recruitment function's effectiveness.

3.5.5 Compensation and benefits function.

Table 7.15 indicates that this function received a mean rating of 52.7%, and this is unacceptable. Compensation and benefits function needs serious intervention especially in statements 1, 2, 6, 7, and 9 to 11 which received low ratings ranging between 2 and 4 (Table 7.7) by the respondent.

3.5.6 Selection function.

This function received an average rating of 50.6% (Table 7.15) which is unacceptable, indicating that this function needs serious intervention, specifically in statements 5, 6, 9, 10, and 13 and received low ratings ranging between 2 and 5 (Table 7.3) by the respondent.

3.5.7 Performance management function.

Performance management function received a mean rating of 34.5% which is the lowest rated function. This is unacceptable and indicates that this function needs rigorous intervention to enhance its effectiveness, especially on statements 4, 6, 7 and 9 to 14, which received low ratings ranging between 1 and 5 (Table 7.5) by the

respondent.

3.5.8 HRM function.

The overall effectiveness of the HR function, as a whole, carried a mean rating of 53.4% (Table 7.15), which is really unacceptable for an institution's HR function needs some intervention to bring it to an acceptable effectiveness.

4. THE MODEL FOR HUMAN RESOURCE FUNCTION EVALUATION FOR TERTIARY INSTITUTIONS.

4.1 Introduction.

This model was developed by the researcher based on the study's research findings at two institutions, with the aid of South African Board of People Practices HR Standard elements model. The SABPP model comprises 13 national standards developed in order to improve the quality of Human Resource function, regardless of the type of industry or organisation. The national standards include:

Business Strategy – HR Business Alignment: Preparation stage.

- Standard 1: Strategic HR Management.
- Standard 2: Talent Management.
- Standard 3: HR Risk Management.

Functional and Cross Functional HR Value Chain: Implementation stage.

- Standard 4: Workforce Planning.
- Standard 5: Learning and Development.
- Standard 6: Performance Management.
- Standard 7 Reward and recognition.
- Standard 8: Employee Wellness.
- Standard 9: Employment Relations Management.
- Standard 10: Organisation Development.
- Standard 11: HR Service Delivery.
- Standard 12: HR Technology.

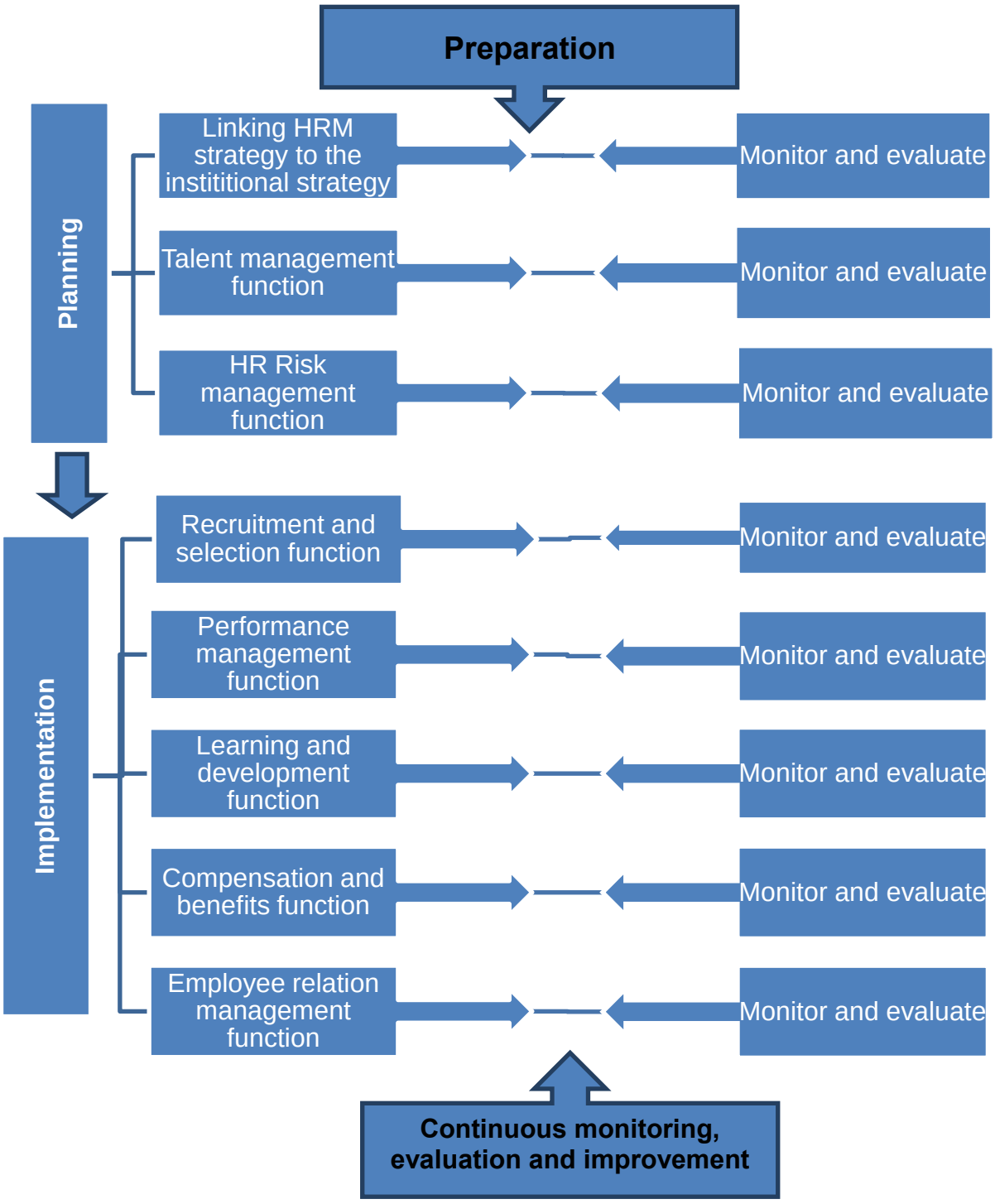
HR Metrics: Reviewing stage.

- Standard 13: HR Measurement.

Improvement stage.

4.2 Contents of a Human Resource Management Evaluation Model for Tertiary Institutions

FIGURE 7.1 A HUMAN RESOURCE MANAGEMENT EVALUATION MODEL DEVELOPED FOR TERTIARY INSTITUTIONS (Adapted from the SABPP model).



The researcher's model comprises nine standard elements, which are grouped into four phases namely, preparation, planning, implementation, as well as continuous monitoring, evaluation and improvement. The first phase in this model is the preparation phase in which stakeholders and evaluators are identified, as well as the development of objectives and evaluation processes. The second phase is the planning phase which comprises linking HRM strategy to strategy to the institutional strategy, talent management function and HR risk management function. These three standard elements were derived from the SABPP standard element, and the reason for their inclusion in the researcher's model was because they are the key elements in ensuring the achievement of the institutional goals. The third phase, implementation comprises recruitment and selection functions, performance management function, learning and development function, compensation and benefits function and employee relations function. These are the six HRM practices under study and the reason for combining recruitment and selection was because the findings revealed that recruitment and selection were considered as one function and were executed by the same person. The reason for integrating some of the SABPP HR standard elements into this model was because they are nationally acclaimed and ensure that all HRM evaluations are conducted in a consistent manner based on the same criteria. Figure 7.1 identifies the researcher's HRM evaluation model.

4.2.1 Preparation.

Phase 1: Identification of stakeholders, evaluators, preparation of PAQ-HRM, development of objectives and processes for evaluation.

This phase deals with six fundamental steps, namely, identification of stakeholders, who include top management (Vice-Chancellors and their Deputies, Executive Directors and Deans of faculties, HRM department, internal customers, namely other units, departments and faculties within the university, who are end users of the HR service. To gain support and commitment of top management, they need to be briefed regarding the intention to evaluate the HRM function, the objectives, application and processes of the evaluation. The underlying reason for this is the fact that HRM function evaluation has cost and time implications which require the

approval of senior management. The other decision involves identification of the evaluators, who need to be equipped with knowledge and understanding of the process and, dealing with the preparation of Performance Assessment Questionnaire (HRM) (PAQ-HRM). The final informing decision entails the development of the evaluation objectives as well as the processes.

4.2.2 Planning.

Phase 2: Linking HRM strategy to the institutional strategy.

Phase 2 focuses on the alignment of HR strategy with the institutional strategy. The alignment is very significant since in order for institution to reach their organisational goals, they need human capital. The HRM strategy specifies how these institutional goals could be achieved with the use of human capital. The alignment enables employees to understand how the institution wants them to achieve these goals. It would also assist line managers to implement the strategy, as well as participating in the long-term goals of the institution. The alignment would involve translating the institutional strategy into HRM strategy, which aims at capturing the human component of what the institution is intending to achieve, and making sure that there are right people, with the right mix of skills and knowledge, and the right attitudes and behaviours. In order to implement the strategy, a new institutional structure must be developed to support the institution strategy. Jobs must be structured and the HR policies, practices, processes, procedures, workforce plans and operation plans must be designed to assist employees to succeed in achieving the desired institutional goals and culture.

The evaluation, in this case, would focus on whether:

- The HRM strategy, HR institutional structure, HR policies, practices, procedures, workforce plans as well as operational plans are in line with the institutional strategy.
- The implementation of HRM strategy is reviewed and monitored within the governance structure of the institution.

4.2.3 Planning.

Phase 3: Talent management function.

Possessing talented people is critical to the success of any institution or organization, especially in the present competitive global environment. Talent management is an essential component of HRM strategy. Without talented staff, it becomes impossible to formulate and implement successful institutional strategies. The basic aim of talent management is to attract, identify, develop, engage, reward, retain and deploy talented individuals who would perform to the best of their abilities and add value to the institution, for current and future needs. This would enable the institution to achieve its goals. For talent management strategy to be effective, it also needs to be aligned with the institutional strategy.

The evaluation would focus on whether:

- Talent management practices support the institutional strategy.
- Line management receives the necessary support from HRM regarding talent requirements.
- The existing talent management processes and systems within the institution are able to attract, identify, develop, engage, reward and retain individuals with the right talents, for the current and future needs of the institution, to enable it to achieve its objectives, or
- Talent reviews are aligned with the institutional goals.
- Talent management practices are monitored and evaluated.

4.2.4 Planning

Phase 4: HR risk management function.

The HR risk can either have a positive or a negative impact on the realisation of institutional goals. HR risk refers to any human, culture or governance element that causes insecurity to the institution and has a negative impact to the institution's operations. These could involve people risks, operational risks, professional risks or personal risks. To avoid this negative impact, the institutions need to have a more

integrated and proactive approach to ensure that they are able to handle these risks. HR risk management should be a component of the overall risk management of the institution, it will therefore, ensure that the operations of the institution are more effective and efficient.

The evaluation would focus on whether:

- HR risks are a component of the institution's overall risk management.
- HRM is placed in the risk governance structures and processes of the institution.
- Risk assessments are conducted for possible positive and negative human element risks, in order to attain institutional goals.
- Potential risk effects pertaining to strategic and operational HR activities are identified and evaluated.
- There are any suitable risk tolerances for the different parts of the HR function.
- The human-based risk management systems, metrics, risk controls, and HR practices conform to the institutional governance, risk and compliance strategies and policies including integrated reporting.
- HR risks are monitored and evaluated.

4.2.5 Implementation

Phase 4: Recruitment and selection function.

For institutions to survive in a rapidly changing global environment they need to attract and retain competent people with the right talents, who will adapt well to this changing environment. This could be achieved through the effective recruitment and selection processes. These are the first step toward employee commitment to the institution. There should also be a recruitment and selection policies in place, which are guided by the recruitment strategy. This recruitment strategy should be aligned with the HRM strategy as well as the institutional goals and culture.

The evaluation would evolve around employment planning, recruiting policies, employment advertising, job application, hiring costs analysis, applicant interviews, reference checks, testing and evaluation, background checks and selection criteria.

Looking at whether:

- Both the recruitment and selection policies are in place and that recruitment and selection processes are implemented in compliance with these policies.
- These policies are formulated or amended with the support of all stakeholders in the organisation.
- All stakeholders are made aware of the existence of both these policies.
- The policies are implemented in compliance with the labour legislation.
- Recruitment and selection processes take into account the workforce plan for future needs of the institution.
- Adequate testing is done before extending an offer to ensure that the person has the appropriate skills, knowledge and style to be successful in the position.
- Selection decisions are objective and gathered from a variety of sources, and.
- Both these functions and their policies are monitored and evaluated.

4.2.6 Implementation

Phase 5: Performance management function.

Performance management is a planned process of developing, supporting, improving individual and team performance and aligning it with the strategic goals and core values of the institution. It enables the organization to retain competent people in the job, who are able to exert superior performance and contribute to the achievement of institutional goals. To guide the process of performance management, performance management policy and procedures should be formulated, with the support of all stakeholders within the institution. This policy needs to be in compliance with the labour legislation. There should also be the development of performance management system in place, which will includes performance planning and evaluation.

The evaluation of performance management would focus on whether:

- There is a performance management policy is in place and that performance management processes and procedures are implemented in compliance with these policies.
- These policies are formulated or amended with the support of all stakeholders

in the institution.

- All stakeholders are made aware of the existence of this policy.
- The performance management policy is implemented in compliance with the labour legislation.
- There is an appropriate performance management system in place.
- Support to improve performance at the individual, team and institutional level is provided.
- There are informal and formal performance reviews for individual employees.
- Performance management capability is developed across the institution.
- Performance management processes take into account the workforce plan.
- Performance management is linked to other HRM processes in order to align appropriate performance outcomes that attract, retain and motivate employees.
- The effectiveness of performance management system as well as the performance management policy are monitored and evaluated.

4.2.7 Implementation

Phase 6: Learning and development function.

Learning and development equips employees with the necessary skills and knowledge to perform their jobs. When employees perform to the best of their abilities, this also contributes toward the on-going institutional development. A learning and development strategy that is aligned to the institutional goals needs to be formulated, which informs the learning and development policy and procedures on how learning and development would be conducted and by whom. Identifying and selecting integrated approaches that are suitable for learning and development interventions, in order to meet the identified institutional and employee needs.

The evaluation would focus on whether:

- There is a learning and development strategy which is in line with institutional strategy.
- The learning and development policy which conforms to learning and development strategy, which in turn, is aligned to the institutional goals and culture.

- The identified and implemented interventions for the learning and development meet the identified institutional and employee needs.
- The learning and development function conforms to the institutional strategy.
- The learning and development function is in line with the labour legislation and conforms to the relevant service delivery and quality requirements.
- The knowledge management strategies and interventions are able to improve and enhance knowledge as well as institutional capability.
- Evaluate and monitor the impact of learning and development function.
- The budget allocated for learning and development have accomplished its objectives.
- The content of learning and development programs is appropriate to meet the employee and institutional needs.
- The evaluation needs are properly planned and are clearly stated in the form of objectives of what needs to be evaluated.
- Return on investment is calculated in terms of the improved performance by the employee.
- The learning and development function is monitored and evaluated.

4.2.8 Implementation

Phase 7: Compensation and benefits function.

This phase involves the compensation and rewarding of employees for their contribution to the achievement of institutional goals. Compensation and benefits enable the institution to attract, motivate and retain employees. The compensation strategy and policy must be formulated in line with the institutional goals, culture and labour legislation. The compensation policy, plan, benefits, compensation and recognition system must also be communicated and applied equally to all employees.

The evaluation would aim at whether:

- There is compensation and benefits strategy and policy in place and whether they are able to attract, motivate and retain employees.
- The strategy is in line with the institutional goals and culture as well as

appropriate labour legislation.

- The policy is in line with the institutional goals and culture.
- The identified practices, procedures and systems enable the compensation system to function effectively.
- Compensation is aligned with other HRM practices for optimal effect.
- There are detailed rules for all benefit schemes.
- There is an appropriate informal or formal recognition system in the institution.
- Local markets evaluation is done annually to ensure external equity.
- Employers cannot make deductions from the employees' salaries without their approval.
- Stakeholders are consulted in the formulation and amendments of the policy.
- The compensation policy, compensation plan, benefits, compensation and recognition system are communicated to all stakeholders.
- Compensation policy is applied equally to all employees, and
- Compensation function, policy, procedures and systems are monitored and reviewed annually.

4.2.9 Implementation.

Phase 8: Employee relation management function.

This involves the management and regulation of the relationships between the employer and employees within a working environment. This relationship emanates from the necessity of economic activity within the society and from an individual's need to work and be paid for his work. The employment relations strategy, policy, and procedures that conform to the appropriate labour legislation and code of good practice must be formulated in order to guide the execution of this function. The labour legislation requires that employees must be protected from harmful effects of working conditions that cause damage to health, inequalities, and discrimination on the grounds of race, gender, age, etc. Employers must ensure employees are protected from such. Employee relationship needs to have suitable structures and staffing and should be built on trust and respect. It must promote and value diversity and avert discrimination as well as ensuring the improvement the socio-economic environment of employee.

The evaluation of this function would focus on whether:

- There are appropriate policies and procedures in place.
- The employee relations policies and procedures conform to the appropriate labour legislation and code of good practice.
- The stipulations in the labour legislation are adhered to by the institution.
- The policies and procedures are communicated to all stakeholders.
- All stakeholders are consulted in the formulation and amendments of the policy.
- The appropriate structures are in place.
- The relationship is built on trust and respect.
- The employee relations promotes inclusion and diversity, as well as avoiding discrimination.
- The employees' socio-economic environment is enhanced.
- The state of the employment relations is monitored and evaluated.

4.2.10 Evaluation and improvement.

Phase 9: Continuous monitoring, evaluation and improvement.

This phase focuses on constant monitoring and evaluation checking whether there are gaps in the HRM function and applying corrective measures to enhance its performance and realise the institutional goals.

5. THE ORIGINAL CONTRIBUTION OF THE STUDY TO THE BODY OF KNOWLEDGE IN THE FIELD OF HRM.

Although there is a large bulk of literature on HRM practices, it has also been indicated by various authors that there is little evidence of research studies that examine the evaluation, or lack thereof, of HRM practices in educational settings such as tertiary institutions (Iqbal *et al.*, 2011; Adeyeye, 2009; Janssen & Steyaert's, 2009).

The main aim of this research study was to develop a model for evaluating HRM functions at tertiary institutions based on the findings of the study. This model could be utilised by tertiary institutions to evaluate the implementation of their HRM functions. Apart from pinpointing areas within the HRM function which are in need of

intervention, the model could also be indicative of HR practitioners' training needs. It may further be used for the purposes of research, as well as for record-keeping on the performance of an HRM department. It could further be of use in determining the efficacy of any interventions into the HRM functions. The model is an original contribution by the researcher to the body of knowledge in the field of HRM, as no such framework is currently in use at tertiary institutions.

6. THE SIGNIFICANCE OF EVALUATION BY MEANS OF TRIANGULATION.

The results of the PAQ-HRM revealed that the HR personnel rated the overall effectiveness of the HRM function extremely high, compared to their clientele. This could be that HRM might have a tendency to overrate the effectiveness of this function and, in most cases, self-evaluation is subjective (Gramzow *et al.*, 2003), it is crucial that the PAQ-HRM should gather assessment data by means of triangulation, from different sources, for instance, HR personnel, management, clients, back-up documentation, and statistics on HRM activities (e.g. turnover, efficacy of recruitment, selection, employee relations and training). Performance Assessment Questionnaire should also be supplemented by interviewing and observation.

7. RECOMMENDATIONS BY THE RESEARCHER.

The researcher thus recommends that HR audits, by means of the PAQ-HRM, should be carried out at least once per annum. However, it could be used more often internally within the department, whenever changes take place, for example, after decentralisation or after a new director has been appointed.

Further Recommendations.

- Audits should be carried out by an impartial assessor.
- Even when a function obtains a satisfactory rating, attention should be paid to the statements making up the function.
- The model may be used for auditing all functions, or a single (problematic) function.
- In cases where a function proves to be difficult to carry out successfully, an

institution may adapt the weighting of rating to suit these special circumstances.

- Records should be kept of audit results for comparative purposes, and to measure the success of interventions.
- In case of unacceptable ratings, a function should be audited sooner than annually, especially after remedial action was taken.
- The success of an audit depends on follow-up interventions to address the shortcomings uncovered by the audit.

8. CONCLUSION.

The researcher has allocated different weightings to different functions based on the number of tasks or activities identified for each of the functions. The weighting of the tasks or activities for each of the HRM functions may be adjusted to suit each institution's particular conditions. For example, one institution might place more weighting on the recruitment function, while another might place less weighting on the recruitment function and more on another function, depending on the institution’s needs. Again, if more tasks or activities need to be added to selection, for example, it should be done to conform to each institution's specific needs or conditions. For the sake of comparing sequential evaluations, the questionnaire should not then be subjected to further adjustments.

As respondents with a thorough knowledge of HRM functions are limited in any given tertiary institution, and given the level of service rendered by the HRM department, further indepth research is required in order to determine the worth of such a framework.

For the purposes of further research, data should be collected on the use of the PAQ-HRM in order to fine-tune the model.

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10. ANNEXURES

ANNEXURE A: REQUEST LETTER 1

Ms L.Z. Bingo
Centre for Postgraduate Studies
Bellville Campus
7535

Date 15 November 2012

Professor V. Mazwi-Tanga
Cape Peninsula University of Technology
P O Box 1906
Bellville
7535

Dear Professor Mazwi-Tanga

REQUEST TO CONDUCT A RESEARCH STUDY AT CPUT

I am a registered for a PhD in Industrial Psychology at North-West University. My title is: "An evaluation of Human Resource Management practices at tertiary institutions in the Western Cape".

I have applied and managed to get ethical clearance from your institution. The copy of which is enclosed with this letter. I have contacted Ms Qomoyi regarding my ethical clearance, and asked her the way forward. She advised me to contact you, since the HRM Chief Director and DVC Operations are nolonger with this institution. I humbly ask you to provide me with a permission and directive to approach staff members for the distribution of HRM evaluation checklist and semi-structured interviews that will take not longer than 45 minutes.

My target sample is the Deputy Vice-Chancellor, the Dean, the Acting HRM Director, and HR officers involved in recruitment, selection, compensation and benefits, training and development, performance management, and industrial relations functions.

My aim is to develop a model for evaluating the Human Resource Management function at tertiary institutions, based upon the findings of the study. Once again I would like to assure you that participants will be afforded the respect they deserve, and they will not be coerced to participate in the study. They will not be placed in any harmful situation. The name of the institution will remain anonymous and that confidentiality would be maintained.

I look forward to your favourable response. Thanking you in advance.

Yours faithfully

Lillian Zandile Bingo (Ms)
Cell: 0739249547
02 953 8463

ANNEXURE B: REQUEST LETTER 2

Ms L.Z. Bingo
Centre for Postgraduate Studies
Bellville Campus
7535

Date 15 November 2012

Ms M. Hoosain
The Executive Director (HRM)
University of Cape Town
Rondebosch
Cape Town
7700

Dear Ms Hoosain

REQUEST TO CONDUCT A RESEARCH STUDY AT CPUT

I am a registered for a PhD in Industrial Psychology at North-West University. My title is: "An evaluation of Human Resource Management practices at tertiary institutions in the Western Cape".

I have applied and managed to get ethical clearance from your institution. The copy of which is enclosed with this letter. I humbly ask you to provide me with a permission and directive to approach staff members for the distribution of HRM evaluation checklist and semi-structured interviews that will take not longer than 45 minutes.

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My aim is to develop a model for evaluating the Human Resource Management function at tertiary institutions, based upon the findings of the study. Once again I would like to assure you that participants will be afforded the respect they deserve, and they will not be coerced to participate in the study. They will not be placed in any harmful situation. The name of the institution will remain anonymous and that confidentiality would be maintained.

I look forward to your favourable response. Thanking you in advance.

Yours faithfully

Lillian Zandile Bingo (Ms)
Cell: 0739249547
02 953 8463

ANNEXURE C: HR QUESTIONNAIRE

Do evaluate the performance of HR department regularly?
As an Executive Director of HR, how do you think management perceive HR as a whole in this institution?
But when top management wants to formulate their goals do they talk to you?
With recruitment function how is it evaluated?
Do you evaluate your performance management function?
Do you evaluate the compensation function?
How are annual salary increases decided on? If discussed at a meeting, which stakeholders are present?
In the case of promotions, how are salaries determined?
Is the training and development function evaluated?
So, what systems do you have for training and development for staff members?
Do you have different training for different levels of positions?
Is your selection function also evaluated?
What processes and procedures are in place to ensure that your selection function is in line with legal requirements?
Is the industrial relations function evaluated?
What have you done to ensure you have proper industrial relations processes and procedures in place?
How do you handle your grievance processes?
So how do you ensure that employees are aware of the grievance procedures available in your institution?
What are the most frequently used communication channels for disseminating information regarding disciplinary actions at your institution?
How long do you keep the records of the disciplinary action against the employee in the file?
What are the categories of warnings and their durations?
As HR, do you see yourself as part of the Top Management team or as part of the lower level management team?

ANNEXURE D: INTERVIEW SCHEDULE- DEAN'S QUESTIONS

What is your perception of the function of HRM at your institution?
What would you say is the role of the HRM function at your institution?
Since your job is to assist Deputy Vice-Chancellor with the running of the faculties, and since you are a client of the HR department, how do you feel about the services rendered by the HR department?
Do you see HRM as eyes and ears of Top Management, for instance, informing top management of the institutions of the changes in the Global Market.
What was your perception of HR prior to the introduction of the new Executive Director?
Do you think that people in general were satisfied with HR's performance, prior to the introduction of the new Executive Director?
Do you think the perception has now changed? If yes what are the noticeable changes?

ANNEXURE E: INTERVIEW SCHEDULE- DVC QUESTIONS

What is your perception of the function of HRM at your institution?
How do you think HR, as a whole, was viewed by the faculties and other departments and units, prior to the introduction of the new Executive Director?
What would you say is the role of the HRM function at your institution?
How involved is the HRM Executive in top management decision-making? (For instance, in the formulation of the institutional strategic goals.)
Do you see HRM as the eyes and ears of top management, for instance, with regard to changes taking place in the global market? (For example, the introduction of new technology).
Do you think the perception has now changed?

ANNEXURE F: PERFORMANCE ASSESSMENT QUESTIONNAIRE HUMAN RESOURCE MANAGEMENT

RATINGS

NO/DISAGREE = 0

MINIMALLY = 1

TO SOME EXTENT = 2

TO A LARGE EXTENT = 3

YES/AGREE = 4

RECRUITMENT

STATEMENT	**0**	**1**	**2**	**3**	**4**
14. Written recruitment policy is in place					
15. There are proper recruitment processes and procedures in place					
16. Recruitment staff adhere to the policy					
17. The recruitment policy has been communicated to all stakeholders					
18. The recruitment function is evaluated annually					
19. The recruitment policy is reviewed annually					
20. Appropriate media are used for recruitment					
21. All stakeholders are consulted in the formulation and amendment to policy					
22. The policy is implemented in compliance with the labour legislation					

RATINGS

NO/DISAGREE = 0

MINIMALLY = 1

TO SOME EXTENT = 2

TO A LARGE EXTENT = 3

YES/AGREE = 4

SELECTION

STATEMENT	**0**	**1**	**2**	**3**	**4**
14. A written selection policy is in place					
15. The selection staff members adhere to the selection policy					
16. All legal requirements are met					
17. Interviewers ask questions that are legal					
18. Interviewers ask questions that elicit information which is behaviourally-based					
19. Adequate testing is completed before extending an offer to ensure that the person has the appropriate skills, knowledge and style to be successful in the position					
20. Background checking is undertaken before extending an offer to ensure that the person has given accurate information					
21. There is a clear process in place for notification of candidates					
22. The selection policy is reviewed annually					
23. The selection process is evaluated annually					
24. All stakeholders are consulted in the formulation and amendment of the selection policy					
25. There is consistency between policies					
26. There is consistency between practices					

RATINGS

NO/DISAGREE	**= 0**
MINIMALLY	**= 1**
TO SOME EXTENT	**= 2**
TO A LARGE EXTENT	**= 3**
YES/AGREE	**= 4**

PERFORMANCE MANAGEMENT SYSTEM

STATEMENT	0	1	2	3	4
15. A written Performance Management policy is in place					
16. There is Performance Management System in place					
17. The process of employee performance evaluation is in place					
18. There are proper performance management processes and procedures in place					
19. Copies of job descriptions are in each personnel file					
20. Copies of performance improvement plan are in each personnel file					
21. The performance management policy is communicated to all stakeholders					
22. The policy is implemented in compliance with the legislation					
23. The performance management system is evaluated annually					
24. Performance management policy is reviewed regularly					
25. Employee performance review is done quarterly					
26. Performance is tied to compensation					
27. Managers are involved in setting realistic performance objectives for employees that encourage continuous improvement					
28. Managers are involved in identifying knowledge, skills and behaviours needed by employees to achieve the necessary performance standards					

RATINGS

NO/DISAGREE = 0

MINIMALLY = 1

TO SOME EXTENT = 2

TO A LARGE EXTENT = 3

YES/AGREE = 4

COMPENSATION AND BENEFITS

STATEMENTS	**0**	**1**	**2**	**3**	**4**
10. A written compensation and benefits policy is in place					
11. The compensation policy is communicated to all stakeholders					
12. Local markets evaluation is done annually to ensure external equity					
13. Compensation levels are monitored and reviewed					
14. There is a formal pay structure					
15. Compensation plan is communicated to all stakeholders					
16. Employees are informed about their benefits					
17. Reward systems and processes are evaluated regularly					
18. The compensation policy is evaluated annually					
19. All stakeholders are consulted in the review of the policy					
20. The processes are consistently followed					
21. Employer cannot make deductions from the employees' salaries without the their approval					
22. Stakeholders are consulted in the formulation and amendments to the policy					
23. Compensation staff members adhere to the compensation policy					

RATINGS

NO/DISAGREE = 0

MINIMALLY = 1

TO SOME EXTENT = 2

TO A LARGE EXTENT = 3

YES/AGREE = 4

TRAINING AND DEVELOPMENT

STATEMENT	**0**	**1**	**2**	**3**	**4**
1. A written training and development policy in place					
2. Training and development system is in place					
3. There are proper training processes and procedures in place					
4. There are staff development programmes in place					
5. Training and development function is regularly evaluated					
6. Employee orientation is conducted					
7. The same processes are used for all jobs					
8. The policy is communicated to all stakeholders.					
9. All training is job-related					
23. Stakeholders are consulted in the formulation and amendments to the policy					
24. The training and development policy is reviewed regularly					
25. The policy is implemented in compliance with the labour legislation					
26. The training programs are designed in accordance with the employee needs					

RATINGS

NO/DISAGREE = 0

MINIMALLY = 1

TO SOME EXTENT = 2

TO A LARGE EXTENT = 3

YES/AGREE = 4

INDUSTRIAL RELATIONS

STATEMENT	0	1	2	3	4
10. There is an industrial relations policy in place					
11. The policy is covering all types of misconduct and disciplinary procedures thereof					
12. Industrial relations function is evaluated regularly					
13. There are grievance procedures in place					
14. There are unions representatives in place					
15. Workplace forums function to the best of their ability					
16. There is a low rates of grievances handled in the institution					
17. There is a follow-up evaluation process in place after disciplinary action					
18. There are collective agreements with unions in place					
19. Grievances are handled in a fair and consistent manner					
20. Grievance procedures are communicated to stakeholders					
21. Disciplinary actions are communicated to employees					
22. Disciplinary actions are conducted in a fair and consistent manner					
23. Harassment is covered in the policy					
24. The policy covers violent actions					
25. Progressive discipline is covered in the policy					

26. The policy covers federal regulations					
27. The policy covers leave etc.					
28. Stakeholders are consulted in the formulation and amendments to policy					
29. Industrial relations policy is reviewed regularly					

ANNEXURE G: PERFORMANCE ASSESSMENT QUESTIONNAIRE HUMAN RESOURCE MANAGEMENT

Weighting

Below = 1, 2 Below average = 3, 4 Satisfactory = 5, 6 Very good = 7, 8 Exceptional =9, 10

RECRUITMENT

STATEMENT	Weighting Points
27. Written recruitment policy is in place	
28. There are proper recruitment processes and procedures in place	
29. Recruitment staff adhere to the policy	
30. The recruitment policy has been communicated to all stakeholders	
31. The recruitment function is evaluated annually	
32. The recruitment policy is reviewed annually	
33. Appropriate media are used for recruitment	
34. All stakeholders are consulted in the formulation and amendment to policy	
35. The policy is implemented in compliance with the labour legislation	

SELECTION

STATEMENT	Weighting Points
27. A written selection policy is in place	
28. The selection staff members adhere to the selection policy	
29. All legal requirements are met	
30. Interviewers ask questions that are legal	
31. Interviewers ask questions that elicit information which is behaviourally-based	
32. Adequate testing is completed before extending an offer to ensure that the per-	

son has the appropriate skills, knowledge and style to be successful in the position	
33. Background checking is undertaken before extending an offer to ensure that the person has given accurate information	
34. There is a clear process in place for notification of candidates	
35. The selection policy is reviewed annually	
36. The selection process is evaluated annually	
37. All stakeholders are consulted in the formulation and amendment of the selection policy	
38. There is consistency between policies	
39. There is consistency between practices	

PERFORMANCE MANAGEMENT SYSTEM

STATEMENT	**Weighting Points**
29. A written Performance Management policy is in place	
30. There is Performance Management System in place	
31. The process of employee performance evaluation is in place	
32. There are proper performance management processes and procedures in place	
33. Copies of job descriptions are in each personnel file	
34. Copies of performance improvement plan are in each personnel file	
35. The performance management policy is communicated to all stakeholders	
36. The policy is implemented in compliance with the legislation	
37. The performance management system is evaluated annually	
38. Performance management policy is reviewed regularly	
39. Employee performance review is done quarterly	
40. Performance is tied to compensation	
41. Managers are involved in setting realistic performance objectives for employees that encourage continuous improvement	

42. Managers are involved in identifying knowledge, skills and behaviours needed by employees to achieve the necessary performance standards	

COMPENSATION AND BENEFITS

STATEMENTS	Weighting Points
24. A written compensation and benefits policy is in place	
25. The compensation policy is communicated to all stakeholders	
26. Local markets evaluation is done annually to ensure external equity	
27. Compensation levels are monitored and reviewed	
28. There is a formal pay structure	
29. Compensation plan is communicated to all stakeholders	
30. Employees are informed about their benefits	
31. Reward systems and processes are evaluated regularly	
32. The compensation policy is evaluated annually	
33. All stakeholders are consulted in the review of policy	
34. The processes are consistently followed	
35. Employer cannot make deductions from the employees' salaries without the their approval	
36. Stakeholders are consulted in the formulation and amendments to the policy	
37. Compensation staff members adhere to the compensation policy	

TRAINING AND DEVELOPMENT

STATEMENT	Weighting Points
1. A written training and development policy in place	
2. Training and development system is in place	
3. There are proper training processes and procedures in place	
4. There are staff development programmes in place	
5. Training and development function is regularly evaluated	

6. Employee orientation is conducted	
7. The same processes are used for all jobs	
8. The policy is communicated to all stakeholders.	
9. All training is job-related	
36. Stakeholders are consulted in the formulation and amendments to the policy	
37. The training and development policy is reviewed regularly	
38. The policy is implemented in compliance with the labour legislation	
39. The training programs are designed in accordance with the employee needs	

INDUSTRIAL RELATIONS

STATEMENT	**Weighting Points**
30. There is an industrial relations policy in place	
31. The policy is covering all types of misconduct and disciplinary procedures thereof	
32. Industrial relations function is evaluated regularly	
33. There are grievance procedures in place	
34. There are unions representatives in place	
35. Workplace forums function to the best of their ability	
36. There is a low rates of grievances handled in the institution	
37. There is a follow-up evaluation process in place after disciplinary action	
38. There are collective agreements with unions in place	
39. Grievances are handled in a fair and consistent manner	
40. Grievance procedures are communicated to stakeholders	
41. Disciplinary actions are communicated to employees	
42. Disciplinary actions are conducted in a fair and consistent manner	
43. Harassment is covered in the policy	
44. The policy covers violent actions	
45. Progressive discipline is covered in the policy	

46. The policy covers labour regulations	
47. The policy covers leave etc.	
48. Stakeholders are consulted in the formulation and amendments to policy	
49. Industrial relations policy is reviewed regularly	

ANNEXURE H: MEMORANDUM

MEMORANDUM

TO: THE REGISTRAR/HUMAN RESOURCE MANAGER/ SENIOR MANAGER IN CHARGE OF HR

FROM: Ms. LILLIAN ZANDILEBINGO

Re. ASSISTANCE WITH DATA COLLECTION

DATE: 18 August 2015

Dear Sir/Madam

I am a student registered at North-West University pursuing a PhD program In Human Resource Management.

My topic is: "An evaluation of HRM practices at tertiary institutions".

As part of the requirement for the study, I am conducting a country-wide survey of institutions and I would like to ask you if you could rate the following statements on a scale of 1-5:
5 – Strongly agree-
4 – Agree
3 - Undecided
2 – Disagree
1- Strongly disagree

1. The performance of the HR department is audited/assessed at least once per year ☐

2. Each of the HR functions is covered by the audit/assessment ☐

3. I am satisfied with the performance of the HR department in the carrying out of its mandate ☐

Please be assured that the information you provide will be handled with strictest confidentiality and your name will not be mentioned in this study.

Your response to this email will be highly appreciated.

THANK YOU!