

**EFFECTIVENESS OF THE PUBLIC SERVICE DISCIPLINARY FRAMEWORK FOR
THE DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION**

by

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Submitted in accordance with the requirements of the degree of

DOCTOR OF PHILOSOPHY

in the subject

PUBLIC ADMINISTRATION

UNIVERSITY OF SOUTH AFRICA

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I declare that **“EFFECTIVENESS OF THE PUBLIC SERVICE DISCIPLINARY FRAMEWORK IN THE DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION”** is my own work and that all sources that I have quoted have been indicated and acknowledged by means of complete references.



SIGNATURE

27/1/2022

DATE

ACKNOWLEDGEMENT

This has been a long walk to success and it could not be possible without the meaningful contribution and assistance by the following persons.

- Prof Sival Kahn, my supervisor, and Dr Xolile Thani, my co-supervisor, whose mentorship and professionalism have been beyond reproach.
- Mr Themba Shabane of the Department of Public Service and Administration who assisted with the application and registration process. Mr Shabane was a source of determination and encouragement in this journey.
- Professor Nomalanga Grootboom who has been an inspiration and motivator of note from the start to the end of my study.
- Ms Melanie Malan, the personal librarian for the School of Management Sciences, who was readily available and assisted with the library services.
- Mr Hennie Grobler, the statistician, who assisted with the statistical analysis.
- Ms Nikki Solomon who assisted with the transcriptions.
- Ms Lungile Ngqoyi, Ms Baraata Motlhaoleng, Mr Frans Mpyana who assisted immensely during data collection.
- Mr Mackson Maluleka, Graphic designer for Director of Nkateko Mackson Projects.

Thank you to the Department of Public Service and Administration for granting approval for me to conduct research. My gratitude goes to all participants who responded to the questionnaire and interviews, their participation made a huge impact and contribution to the body of knowledge on discipline management.

My thanks to the Department of Social Development for presenting an opportunity, and resources at my disposal to successfully complete my studies.

Thank you to my family, who gave their precious time for me to undertake and complete this study. A special thanks to my father, **Mr Petrus Fihlo Shabangu**, and my mother,

Mrs Paulina Zabenzeni Shabangu, for their distinguished parenthood which brought me this far.

NguMbel'oluhlaza njengexoshana, nguNgwana mahlabathi umadle' elangeni, wadle'emthunzini uyagongobala, wena owawela iLibombo ngokuhlehletela, nguMagalela ngewakoSilwana, owagalela ngentonga engakabazwa, amaqolo asala endodeni.

ABSTRACT

The public service takes too long to finalise disciplinary cases despite measures in place to ensure that a period of three months would suffice to conclude any disciplinary case. The Department of Public Service and Administration (DPSA), as the custodian of the disciplinary norms and standards of the state, has been used as case study for the research reported here. Disciplinary management is an indicator in the performance agreement of the Minister for Public Service and Administration (MPSA).

The research aimed to determine the effectiveness of disciplinary management in the DPSA. The findings generally revealed non-compliance with the disciplinary framework as disciplinary cases are not finalised within the prescribed timeframe. The research findings were informed by a qualitative thematic analysis and a quantitative analysis. The population consisted of DPSA staff. 121 employees including 12 managers were interviewed, which met the research requirement.

The recommendations are that the DPSA should comply with the disciplinary framework; train managers to monitor and evaluate employee conduct; introduce a periodic review of the disciplinary framework; refer cases of interference with disciplinary management to the Public Service Commission; review the reporting lines for the labour relations unit; institutionalise delegations of authority; develop the consequence management policy; conduct training and raise employee awareness; finalise investigations within 14 days; initiate advocacy and awareness campaigns; introduce a team of employer representatives; and ensure proper interpretation and application of the disciplinary framework.

Based on this study, a disciplinary management model was developed to resolve the challenges of disciplinary management in the DPSA. The model focuses on the review of discipline management practices; implementation monitoring; and the effectiveness of the disciplinary framework.

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LIST OF ACRONYMS AND ABBREVIATIONS

AGSA – Auditor General South Africa
BB - Baby Boomers
BF - Born Free Generation
CCMA - Commission for Conciliation Mediation and Arbitration
CD- Chief Director
COVID-19 - Coronavirus disease
D – Director
DC – Disciplinary
DD – Deputy Director
DDG – Deputy Director General
DG – Director General
DPME – Department of Planning Monitoring and Evaluation
DPSA – Department of Public Service and Administration
DTPS - Department of Telecommunications and Postal Services
EAP - Economically Active Population
EFA - exploratory factor analysis
FAO - Food and Agriculture Organization
GWM&ES - Government-wide Monitoring and Evaluation System
HRM – Human Resource Management
ICT - Information and Communications Technology
IMESA – Institute of Municipal Engineering of Southern Africa
KMO - Kaiser-Meyer-Olkin
KPA – Key Performance Area
LRA – Labour Relations Act
M&E – Monitoring and Evaluation
MMS – Middle Management Service
MPAT - Management Performance Assessment Tool
MPSA – Minister for Public Service and Administration

NGO - Non-government organisations
NPM - New public management
OECD - Organisation for Economic Co-operation and Development
PAF - Principal Axis Factoring
PAMA – Public Administration Management Act
PERSAL – Personal and Salary System
POSDCORB - Planning, organising, staffing, directing, coordination, and budgeting
PSA – Public Service Act
PSC – Public Service Commission
PSCBC – Public Service Co-ordinating Bargaining Council
PSR - Public Service Regulations
ROI - Return-on-investment
RSA – Republic of South Africa
SAAPAM - South African Association of Public Administration and Management
SCA – Supreme Court of Appeal
SITA - State Information Technology Agency
SMS – Senior Management Service
STATSSA – Statistics South Africa
UN – United Nations
WHO – The World Health Organisation

CHAPTER 1: SCIENTIFIC ORIENTATION

1.1 Introduction

Various elements contribute to the prosperity of any institution, but discipline management takes the centre stage. Managing discipline is a necessary ingredient without which no organisation can achieve its goals. There needs to be consistent action in instilling discipline across all levels of an organisation. Instilling discipline may be interpreted as a process that includes, *inter alia*, education, and correcting personal and social conduct that impinge upon the integrity of the organisation. It further refers to consistent disciplinary action against anyone who violates the rules and regulatory framework that govern the operations of an organisation (ANC, 2012:3).

Discipline is the bedrock of society, and equally applies to institutions. Disciplinary management is the driving force in ensuring that public servants render service to civil society with dignity and respect. A disciplined public servant is one who always ensures compliance to legislative and policy provisions of government to realise its service delivery objectives.

This research discusses the challenges and causes of the delay in finalising the cases. The public service has a 90 days prescribed period to finalise disciplinary cases. Failure by government departments to finalise disciplinary cases timeously renders the disciplinary framework inefficient and ineffective. This study discussed various causes and remedies. This is done through a statistical analysis of disciplinary cases, the average number of days it takes to finalise the cases, the challenges, and the proposed solutions to improve the current status quo.

The Disciplinary Code and Procedure for the public service had not been revised since its adoption in 2003. The Public Service Act had been amended, and prescribes certain provisions of discipline management; however, the disciplinary code has not been

updated. The misalignment has legal implications for the discipline management framework in the public service. This study evaluates the effectiveness of the legislative framework for the management of discipline in the public service. Evaluation of discipline management is an important measurement tool to determine whether government is achieving the set objectives and programmes.

A historical and theoretical background from various authors is outlined in this chapter. The authors emphasise the importance of managing discipline in relation to the research topic. The elements discussed are: the rationale, which is the basis for this research study; the problem statement, which provides clarity on the need for the investigation; the research objectives, which are a road map for the investigation; the research question; the literature review, which outlines the theories discussed in this research study; the research methodology; study techniques; the scope and limitation of the study; ethical consideration; and the chapter division, outlining the compartmentalisation of the study.

1.2 Background and rational for the study

This study is limited to the Department of Public Service and Administration (DPSA). The DPSA is the national department and draws its mandate from section 195(1) of the Constitution of the Republic of South Africa, 1996 (hereafter referred to as the Constitution), which sets out basic administrative values and principles for the public service. Section 195 of the Constitution prescribes the principles for the effective and efficient management of discipline. As citizens, it is the right of employees that their disciplinary matters are fairly and promptly dealt with. The aim is to promote and enhance good ethics and integrity in public administration through self and organisational discipline. The Public Administration Management Act 11 of 2014 (PAMA), emphasises the completion of disciplinary matters without undue delay. According to Section 15(4) of the PAMA, public administration institutions must ensure that intervention measures are in place to deal with systematic weakness. This may include capacity building to initiate and institute disciplinary proceeding in cases of misconduct or incapacity due to poor performance.

The DPSA is the custodian of norms and standards for labour relations in the public service. The Executive Authority of each state department is responsible for the management of disciplinary action, which includes ensuring that disciplinary cases comply with the prescribed timeframes. DPSA has identified a need to address the organisational and human resource challenges which hampers service delivery. The disciplinary management reports for the public service show a decline of compliance to the legislative framework, extended periods of precautionary suspension, and delays in finalising disciplinary cases. It is against this background that amendments to the Public Service Act (PSA), 1994 became necessary. This is an indication that prescripts were not adhered to, which resulted in weak organisational and human resource practices. Certain provisions have given rise to legal disputes, while others are obsolete or in conflict with other legislation (DPSA, 2008:1-2).

This chapter introduces the legislative framework governing the management of discipline in the public service. The detailed discussion of the legislative framework and the institutional policy and practice is outlined Chapter 3. The legislative framework outlines the basis for the research topic, which is embedded in the Constitution, Labour Relations Act 66 of, 1995, and the Public Service Act 103 of, 1994. These Acts are the conduit for the reporting mechanism and the system used in the public service to finalise disciplinary cases.

The Constitution has an impact in the management of discipline. All disciplinary provisions are derived and read within the context of the Constitution. According to Chapter 10 of the Constitution, public administration must be governed by values and principles. The values and principles in relation to the management of discipline include professionalism and ethical conduct. The disciplinary processes must be rendered fairly. Discipline management involve the efficient, economical, and effective use of state resources. The disciplinary policy which makes provision for the procedures and processes are Chapter 7 of the SMS Handbook and PSCBC Resolution 1 of 2003.

Clause 4 of Schedule 8 of the Labour Relations Act, 1995 (LRA) regulates fairness in dealing with disciplinary matters involving employees at the workplace. Fairness is defined in terms of the procedure that has to be followed in taking disciplinary action against employees, and the existence of the reasons for such measures. The emphasis of the Act is that employers and employees should treat each other with mutual respect. The common objective is to ensure justice and the efficient operation of the organisation. The achievement of the objective is realised when employers treat employees fairly, and employees display acceptable conduct and meet the performance standards.

The performance standard of disciplinary management has an impact on service delivery, which was the motivation for this study. Discipline management in the public service is meant to improve the service delivery capability, and the effectiveness of national departments and province. The public service legislative framework prescribes that the Minister for Public Service and Administration (MPSA) is responsible for the establishment of norms and standards on discipline management (DPSA, 2013: 23).

This study will therefore assist with possible solutions to improve disciplinary management by reducing the time taken to finalise cases within a maximum period of three months. Critical attention was given to norms and standard, discipline management, forms of discipline, disciplinary procedure, and disciplinary processes.

1.3 Scholarly perspective

Denhardt, Denhardt and Blanc (2014:203) state that a disciplined public service is governed by the democratic principles and values enshrined in the Constitution. Laxity in the management of discipline perpetuates acts of ill discipline and maladministration, create a state of a dysfunctional public service, and undermine the ethos of good governance. It is crucial for the supervisor to effectively manage employees in an organisation. The type of employees recruited and selected has a bearing on effective people management; hence, the recruitment and selection processes have become cumbersome in public service. Managers strive to recruit and select employees whose

disciplined behaviour creates a friendly supervision environment. The recruits must be responsive to the citizenry in rendering government services. According to Ramson, Ramson, Govender, Naidoo, Govender, and Naidoo (2016:2) recruitment is a process of attracting applicants who comply with the criteria of a position to be filled in a company.

The failure to recruit suitable and qualified staff poses the potential for ill discipline and unethical conduct, requiring constant evaluation at the workplace. The content of this study is characterised by factors of morals and ethical values in maintaining discipline within an institution (Geldenuys and Peral, 2020:9). The outcome based performance evaluation of service delivery is an accountability yardstick between the executive authorities and the accounting officers of set performance standards (Wotela, 2017:5). The aim of discipline is to promote obedience, and induce a sense of self-control and self-discipline through monitoring and evaluation of performance (Motseke, 2020:23).

According to Valcik and Benavides (2012:71-72), managing discipline and poor performance are two interrelated concepts. Discipline is a process of correcting poor performance and ensuring that organisational rules and policies are adhered to. The organisation must adopt a communication strategy in order to ensure that rules and policies are known to employees. Poor communication is one of the reasons for employees violating the rules. Supervisors have the responsibility of ensuring that employees are trained and are aware of the rules. The training and awareness campaign may be conducted during induction and when employees are still on probation. Sebola (2017:26) asserts that effectiveness is to be achieved through effective communication tools.

Discipline management includes evaluating the performance of employees to ensure overall institutional performance improvement and employee advancement. Top management is able to make meaningful strategic decisions on information which has been evaluated. Employees are in turn able to receive feedback and evaluation reports. It is important to keep employees abreast of the vision and mission of the organisation.

This constant communication keeps employees focused and aware of the importance of their work for the success of the institution. The communication must filter into the awareness drive on the expected level and standard of performance. Performance gaps must be discussed with the employees, with personal development intervention plans put in place (Pynes, 2013:304). According to Naff, Riccucci and Freyss (2014:402), performance appraisal plays a critical role in institutions in that management decisions are based on their outcome. They also form a basis for decisions by management, amongst others, on issues of discipline. It is evident from research that the management of discipline must be linked to the performance standards of supervisors and managers. Poor performance affects the morale and productivity of both the institution and employees. It is therefore necessary that feedback is given to employees on their performance outcomes and how to improve. Again, the importance of communication is emphasised.

Managing discipline is a governance issue, which is not only the concern of government, but also includes a political dimension. The political agenda of the ruling party informs and influences the service delivery programmes of government. The approach to service delivery is to ensure effectiveness, efficiency, and the economical implementation of government programmes. Sound discipline management is therefore based on good governance, which needs to respond to the expectations of government and citizens. This means that government policies and regulations must be correctly interpreted and applied. The prescribed processes, procedures, and policy timeframes must be adhered to for compliance purposes (Dorasamy 2010:2089). Stevenson (2013:16-18) states that accountability is the force behind good performance with limited concentration on tackling conduct and employee disciplinary issues. The state is characterised as a life-term employer, in that disciplining and dismissing employees who are incompetent is not practical. For employees to perform optimally, they need to understand how their work fits into the broader institutional strategy, and if their contribution is valuable. One of the key management aspects is to ensure positive exploitation of data capturing and information management. Reliable information management systems result in a prompt and easy decision-making process for

accountability. South Africa is a democratic state whose actions are accountable to the citizens.

All institutions need to maintain discipline in order to function effectively and efficiently. Discipline is not only associated with acts of misconduct committed by employees but also the manner in which policies and procedures are complied with. In order to deal with disciplinary related matters effectively, certain control measures must be put in place. These measures may, for instance, entail processes and procedures on how to deal with incapacity and poor performance, sexual harassment, absenteeism, suspensions and so on. Many institutions develop codes of conduct and regulate various disciplinary measures. The critical factor is to ensure that the established rules are consistent and fairly applied (Bendix, 2010:234-235). According to Teise (2015:65), values are guiding principles for human behaviour and social relations.

The employer and employee working relationship is sustained through a traditional hierarchical power struggle. The hierarchical power is categorized into the following three elements: (i) the power to allocate functions and give directives on how to execute them, which is referred to as directional power; (ii) the power to monitor execution of directives, rules and orders, which is referred to as control power; (iii) the power to mete out disciplinary sanction against employees involved in misconduct and poor performance, and is referred to as disciplinary power. The above hierarchical powers are interlinked and interdependent traditional forms of ensuring service delivery and productivity (Casale, 2011:3). Malabby, Price, and Hofmeyr (2017:6) state that the temptation to fall back onto one's historic strengths is very powerful, particularly when problems arise, but there is definite need to transition from a power base role to a leadership role by letting go of power and instead managing by influence.

Influence and power suffer similar defects (Zaaiman, 2020:1). Hierarchical power is a critical tool in discipline management to exercise flexibility and reduce the time it takes to finalise cases, which is referred to as reducing the "transaction costs" (Barasa, 2018:811). Control power allows for the monitoring of processes and provides remedial

action or recourse to the directional power. Disciplinary power is an enforcement tool of discipline for the employers. Employers use this power to sanction acts of misconduct and irregularities which are against orders and directives. It is referred to as the flexibility and the transaction costs reduction tool. One of the means to deal with deterrence and non-compliance is through the application of disciplinary power (Casale, 2011:18). According to Richards, Lackay and Delport (2019:V), institutions reflects power structures, values, and access to resources of different sorts.

Power influences the fairness of the disciplinary process and compliance to the prescribed timeframes. The disciplinary action must commence within a reasonable time and be concluded as specified in the code. Failure to finalise disciplinary cases within the given timeframes causes tension amongst role players. The supervisor plays a central role in managing discipline by making attempts to rectify unbecoming behaviour. This is testimony to the administration theory that discipline is a management function. Referring disciplinary cases to the human resource department to handle undermine and compromise the authority of managers. Managers and shop stewards need extensive training on how to conduct disciplinary enquiries. Their knowledge and participation in the process contribute to determining the fairness of the administration of discipline (Finnemore, 2013:252-253). Adeniyi (2017:44) states that supervision is one of the basic requirements in administration that concerns the tactics of efficient and proper management, that is, it is the nervous system of an organisation.

Effectiveness and efficient discipline management constitute the basic principles governing public administration (RSA Constitution, 1996, 116). The principles of common law dictate that the employer has the right to exercise discipline and ensure the maximum level of performance by employees. Performance standards must be set and agreed to with employees through a performance or service level agreement. The employer is therefore entitled to consider disciplinary measures against poor performance. The disciplinary action may lead to the dismissal of an employee, and the principles of fairness must prevail in the process. Procedural fairness necessitates the opportunity granted to employees to state their cases in response to the charges. The

right to representation must be communicated, and permission granted to the employee (Denhardt *et al.*, 2014:222). Lumadi (2019:2) maintains that discipline results in good teaching and learning, and therefore promotes performance.

Effective discipline performance management must be understood within the context of good supervision and sound human interaction or relations. Research conducted by DPSA (DPSA, 2010:8) reveals that the time it takes to finalise disciplinary cases should be reduced. The research concludes that the effectiveness in handling disciplinary cases is dependent on aspects of good judgement and the application of common sense in successfully dealing with disciplinary cases. These qualities are lacking, hence the delay in the finalisation of disciplinary action within the prescribed timeframe of 90 days. This is, however, achieved if performed and guided by organisational policy, relevant government legislative framework, and regulations, including the application of best management practices. The study further established through case law that the courts have no sympathy if disciplinary processes are not properly managed. This is based on the premise that the disciplinary processes and procedures were applied contrary to the collective agreement and ministerial determination (DPSA, 201:18).

The rules and regulations applicable to senior management service (SMS) differs slightly from those of middle managers and the lower levels, which are dealt with in terms of the PSCBC Resolution 1 of 2003. Clause 7.2 of PSCBC Resolution 1 of 2003 requires disciplinary hearings to be held within 60 days of the date of suspension. The employer, as the initiator of the process, is obliged to conduct the hearing within a month from the date of suspension of an employee, and not later than 60 days where the complexity of the matter and lengthy of the investigation so requires. At the time of this research study, no amendments had been made to the above Resolution since its adoption by the PSCBC (PSCBC 2003:5).

The Disciplinary Code and Procedures, including the SMS Handbook, have to be consistently implemented by all public institutions. Mfene (2012:7) states that accountability is synonymous to answerability. Any public institution or official must be

held responsible each time that an administrative error occurs. The state with this responsibility ensures that the mandate of government is properly executed. According to Price (2015:315), accountable governments, for example, have a duty to explain and justify their decisions, actions, and laws to their citizens.

The rationale for this investigation is to determine the challenges and causes of the delay in finalising the cases. In an effort to ensure an accountable government, Cabinet “Lekgotla” in July 2010 adopted an outcome-based approach towards service delivery. A “Lekgotla” is a consultation meeting with stakeholders to influence decision-making through engagement (The Presidency 2010a). This outcome-based approach is aimed at improving the strategic focus of government and is a rigorous manner of implementing programmes of government. The Presidency (The Presidency, 2010a:4) established that in the past, government could not achieve its objectives and expectations due to the lack of required resources during the implementation phase. With regard to the management of disciplinary cases the State President, Mr Jacob Zuma, instructed the MPSA, who is the political head of the Department of Public Service and Administration, as follows:

I would like you to measure the number of SMS managers who are discipline and/or discharged, with the aim of ensuring consistent application of discipline and appropriate sanctions for misdemeanours. The period for completing disciplinary processes must be reduced, especially where personnel are suspended on full pay. In this regard, benchmarks must be established and targets not exceeding three months must be set (The Presidency, 2010a:4).

The MPSA Delivery Agreement impact indicator of the state of public service is the 90 days average number of days taken to resolve disciplinary cases in all national and provincial departments (The Presidency, 2014:26-30). The DPSA is the custodian of public service disciplinary reports. This study is based on reports submitted by government departments to the DPSA, which show an unacceptable negative trend to finalise disciplinary cases. The reasons cited for the delay in finalising cases range from

endless requests for postponements of disciplinary cases on medical grounds, on the non-availability of chairpersons, legal technicalities, and capacity constraints. It is further alleged that extended precautionary suspensions cause delays in finalizing disciplinary cases. These technicalities are raised despite the 60 days prescribed timeframe of finalising and circumventing the extended precautionary suspension (Barbieri 2015:5).

The reports of various oversight institutions indicate that disciplinary cases are not finalised within the prescribed 90 days period. The major challenge seems to be non-compliance to prescribed legislative timelines and the under-utilisation of reporting means and information management systems (National Treasury 2015). The Minister for Public Service and Administration issued a directive to Executive Authorities and heads of departments about the consequences for lack of compliance in the capturing of the labour relations data on the PERSAL system, and that contraventions in this regard will be dealt with in accordance with section 16A of the Act 103 of 2004 (DPSA 2017).

This research was further motivated by the 2011 Public Service Commission (PSC) study report on the management of precautionary suspensions in the public service. The findings revealed that there is generally non-compliance to timeframes as stipulated in the applicable prescripts. The PSC is established as a monitoring and evaluation institution of employment practices in the public service. As such, it is required to promote professionalism and ethical conduct through monitoring and evaluation of state activities (PSC 2011:11).

The DPSA determines discipline management norms and standards for the public service in terms of the PSA, 1994 (as amended). There is an eminent need for the DPSA to review the relevance of the current disciplinary framework in determining the delay in finalising disciplinary cases. This study endeavoured to establish the challenges and causes of the delay in finalising the cases.

1.4 Problem statement

Misconduct cases take long to finalise in the public service on account of poor disciplinary management. The public service on average takes more than the prescribed 90 days period to finalise disciplinary cases, which results in unnecessary litigation claims against the state. The delay in finalising cases is due to various issues, ranging from the involvement of legal practitioners who raise technical aspects, the postponements, the non-availability and incompetency of chairpersons, the extended suspensions, unavailability of witnesses, and an enabling legislative framework. This is attributed to the lack of knowledge and training of human resource staff and line managers.

The failure to finalise disciplinary cases on time within 90 days is a concern to service delivery in that officials who are suspended from duty are paid for staying at home. This practice constitutes non-compliance with the disciplinary framework and amounts to audit queries for public institutions. The prolonged finalisation of cases against officials undermines the public service discipline management framework and impacts negatively on service delivery. Therefore, this research seeks to determine the effectiveness of disciplinary management. The effectiveness encompasses challenges and causes of the delay in finalising the cases within the prescribed timeframe.

1.5 Purpose of the study

This study sought to investigate the effectiveness of the public service disciplinary framework for the Department of Public Service and Administration.

1.6 Research objectives

The objectives of the study were to do the following:

- Investigate whether public administration practices promote effective discipline management.

- Examine whether discipline management framework measures are effective in ensuring a disciplined workforce
- Explore whether the DPSA manage activities within the confinement of legislative framework requirements.
- Assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases.

1.7 Research questions

The following were the research questions:

- How do public administration practices promote effective discipline management?
- How effective are discipline management framework measures in ensuring a disciplined workforce?
- How does the DPSA manage activities within the confinement of legislative framework requirements?
- What are the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases?

1.8 Literature review

The literature review focused on the core of the study and outlined five themes, which are discipline management, norms and standards, disciplinary procedure, disciplinary process and the forms of discipline.

1.8.1 Norms and standards

The sustainability of discipline in an institution requires that standard rules and norms are developed in the form of a disciplinary code (Lubaale, 2019:43). The performance, behaviour, and conduct of employees should be monitored and measured against the set standards. Corrective measures must be set and applied where employees fail to meet the performance standard, which may include the invoking of disciplinary action.

Lastly, the employer must determine whether the corrective measures yield the desired outcome and if there is an improvement in the level of performance (Moloi, Kanjee and Roberts 2019:4). The positive approach to discipline implies that employees understand with acceptance the role of management and supervisors in an institution. Employees become motivated and productive if they comprehend the established rules and regulations. The supervisor has the responsibility to sensitize employees on the performance standard and conduct (Nel *et al.* 2012:288-289).

1.8.2 Discipline management

It is critical to maintain order during operations for the organisation to achieve its goals. Elements of ill discipline and disorder by employees adversely affect the functioning of an organisation in realising its objectives. The maintenance of discipline can be viewed as a means of keeping order and sound employment relationships at the workplace (Sebola and Tsheola, 2017:4). The emphasis on discipline does not merely involve stringent rules and regulations, but also involves ensuring an orderly working environment (Nortjé, 2020:12). Positive discipline involves constant communication between management and employees at the workplace. Supervisors should play their role in ensuring that employees are informed of the required performance standards and conduct (Nel, Kirsten, Swanepoel, Erasmus & Poisat, 2012:287-288).

1.8.3 Forms of discipline

The forms of discipline are categorised into formal and informal. For less serious forms of misconduct, no formal disciplinary enquiry should be held (PSCBC, 2003:5). In the past, employers used the 'big stick' approach of more severe sanction to manage discipline, which was an authoritarian and inconsistent mechanism. In this system, the rules are made and implemented unilaterally by the employer and any punishment is exercised on any infringement. The sanctions meted out are based on designation and the level of an employee in the organisation. The management style is one of threats and warnings, which are constantly issued to scare employees, and are regarded as unfair (Calitz, 2019:183). This is a negative approach where employees do not perform

to their potential, but minimally to avoid disciplinary action. The weakness of this approach is that employees tend to manipulate and “beat the system” to the detriment of the organisation. Organized labour is opposed to this system and it adversely affects the sound employment relationship. Preference is given to progressive discipline that focuses on corrective behaviour of employees and not a punitive form of discipline (Finnemore, 2013:248-249).

1.8.4 Disciplinary procedure

The disciplinary hearing must adhere to procedural requirements to ensure fairness. The disciplinary procedure shall as far as possible be held in the workplace and be understandable to all employees (PSCBC, 2003:3). The procedure includes conducting of an investigation to determine whether there are grounds for sanction (LRA, 1995:312). The employer should inform the employee about the allegations and charges, and issue a notice of the disciplinary hearing timeously, informing the employee about the right to representation, conducting of a disciplinary hearing, pronouncement of the sanction, consideration of an appeal lodged by the employee, and record keeping (Valcik *et al.*, 2012:72-74).

1.8.5 Disciplinary process

There are processes that must be followed to ensure substantive and procedural fairness in dealing with disciplinary cases. The first step of the disciplinary process is to afford the charged employee an opportunity to respond to the allegations of misconduct and defend himself or herself (Diedericks, 2017:657). The employer representative, employee, and chairperson are the main participants in the hearing (PSCBC, 2003:5). The chairperson, who should be an impartial third party, is responsible for keeping the hearing in good order and making a finding of guilty or not guilty, based on the evidence presented. The employer, or the person acting on behalf of the employer, must lead all evidence, including calling witnesses, presenting documentation, and/or video footage, among others (Small, 2017:28).

Notwithstanding the literature review and the themes of the study, the researcher identified the following scholars who researched disciplinary management in the public service:

- Segway's (2011) research was on attitudes towards disciplinary measures amongst managers and workers in Bopheleong Hospital Mahikeng. The findings revealed the varying sanctions meted out for various acts of misconduct and the challenges in the implementation of disciplinary measures. The research advocated for the need to review and enforce discipline at the workplace for the improvement of service delivery.
- Lekgela (2017) researched disciplinary codes and procedures: a comparative study at three South African universities. The research focused on compliance of the disciplinary code and the fair procedure that is prescribed in schedule 8 of the Labour Relations Act, 1995. The findings revealed different perceptions, whereupon a recommendation was made for training intervention for managers and supervisors on initiating and chairing disciplinary enquiries.
- Smit (2010) conducted research on disciplinary enquiries in terms of schedule 8 of the Labour Relations Act 66 of 1995. The research dealt with fair procedure in dealing with disciplinary cases with reference to the RSA Constitution, Labour Relations Act, 1995, and the International Labour Organisation (ILO) C158. The findings revealed that disciplinary codes and procedures should not be used as an inflexible set of rules, but as guideline from which some deviation is permissible in certain circumstances.

This study differs from the above, in that this study reveals the causes and challenges of the disciplinary framework in the delay to finalise the disciplinary cases with the 90 days prescribed timeframe in the public service. A disciplinary management model is developed to address compliance and monitoring of the implementation in accordance with the applicable legislative framework.

1.9 Research methodology

This is a qualitative study, which used interviews and exploratory quantitative data through a questionnaire to close the gaps. The quantitative data was collected and translated into descriptive statistics and presented in the form of graphs. In addition, document analysis was presented in the form of narratives.

Research is regarded as the systematic process of enquiry in gathering and discovering knowledge about an identified topic or phenomenon. There are different research methods which are applied to realize the objectives. Research methodology refers to the manner of collecting data and the processing thereof within the framework of the research process. Methodology is concerned with the tools, procedures, and techniques used in the process of enquiry for the implementation of a research design or research plan (Theletsane, 2014:7). According to Leavy (2014:3), research methods are defined as tools which are used for data collection. The data collection of the research study is exploratory qualitative research.

1.9.1 Quantitative research

This method is used when the research is aimed at a universal statement by assigning figures to observations. The techniques used involve surveys, questionnaires, and opinion polls (Theletsane, 2014:8).

According to Russell (2011:23), social research is about defining the variables and meanings in relation to the difference thereof. The variances and how they are associated is studied whereupon different scenarios emerge from the analysis. The common variables in social science are age, sex, occupation, race, income, education, and marital status. Variables are things which can take on more than one value in the form of words or numbers. Mukherjee (2016:15) states that quantitative research is therefore concerned with numerical data and analysis

1.9.2 Qualitative research

The qualitative method is concerned with descriptive data, with no involvement of numbers during the analysis of the research evidence. Interviews were the technique used for this study. The data is usually categorised into primary and secondary evidence, where the former is with regard to the first-hand information from the respondents, and the latter is data collected by another researcher (Theletsane, 2014:8).

Qualitative research approaches in social science and behavioural studies are used to explore, explain, and describe various phenomenon and activities. This approach is relevant to explore new and/or existing areas that are under researched. It further serves as the linkage between individuals, groups, institutions, cultural, and diversity aspects (Leavy, 2014: 1-2).

According to Gadzikwa (2017:34), qualitative research methodology is about the active involvement of the researcher as part of the phenomenon being investigated. The lack of participation in the phenomenon limits the positive contributions of the researcher in sharing the experience, knowledge, and cultural impetus in conducting the study.

1.10 Study technique

This study was conducted through research materials in the form of library books, journal articles, internet information, government documents, including policies and acts of parliament. The literature and public documentation were used for the compilation of the research proposal. The study findings were informed by the literature review, interviews, questionnaire, and document analysis.

1.11 Scope and limitation of the study

The scope of this research study was limited to the effectiveness of disciplinary management in the DPSA, as the custodian of norms and standards for the management of discipline in the public service. The focus was on the public service disciplinary framework. The applicable legal and disciplinary framework is the Public

Service Act 103 of 1994, Public Service Regulations, 2016 Labour Relations Act 66 of 1995, the Disciplinary Code and Procedure for the Public Service (PSCBC Resolution 1 of 2003), and Chapter 7 of the SMS Handbook, 2003.

The questionnaire was limited to employees of the DPSA, and included staff members, and interviews with senior managers who are the custodians of disciplinary management, monitoring, and evaluation. The disciplinary reports were limited reports of the Department of Planning Monitoring and Evaluation (DPME) and the Public Service Commission (PSC),

The other limitations to the study included the following:

- The Covid-19 pandemic restrictions.
- Virtual meetings and connectivity.
- Availability of statisticians.
- Availability of participants for interviews.
- Questionnaire responses.

1.12 Ethical consideration

A request to conduct the study was made to the Director General of DPSA and consent was sought from the participants. This was done through a letter and an informed consent form completed by all the participants. The informed consent form described the nature of the research project and the nature of the participation (Leedy & Ormrod, 2014:108). The approved letter of request for permission to conduct the research with the target population was subsequently brought to the attention of the Human Resource Management and the participants.

The consent form was completed by the participants during the data collection process. To ensure privacy and confidentiality, participants were not required to reflect their personal details on the questionnaires. Participants were informed that their

participation was voluntary, that they had the right to refuse to respond to any question, and the right to withdraw without explanation (Leedy & Ormrod, 2014:273).

The researcher applied for ethical clearance at the University of South Africa (Unisa), and in accordance with Unisa's ethical policy, ethical clearance was granted for the researcher to conduct the study.

1.13 Chapter division

This thesis is categorised into chapters, which are connected to each other and give meaning to each other.

Chapter 1 is the introduction and provides a scientific orientation to the study. The research study objectives are identified with the synopsis. It outlines the problem statement, the research question, and provides the generalisation. The chapter gives the reader an understanding of the overall background and challenges on how disciplinary cases are dealt with in the public service.

Chapter 2 investigates public administration practices in terms of discipline management. Clarity is provided through the literature review, which also examines the essence of the relationship between public administration and disciplinary management. This chapter serves as the foundation on which this study is based in the context of the generic functions of public administration.

Chapter 3 examines the effective measures of the discipline management framework. The focus is on the disciplinary framework in the form of prescripts, systems, and processes which are utilised to manage discipline in the public service. This chapter focuses on the effective interpretation and application of the framework, including rules and regulations.

Chapter 4 explores discipline management policy design and implementation and assesses the outcomes of monitoring and evaluation. This chapter is necessitated by

the assumption that the policy design and implementation must be monitored and evaluated to keep up with the improvements.

Chapter 5 determines the relevance of the design and methodology used in this study. The focus is on defining the research setting, unit analysis, and the measuring instruments. The reasoning behind the selection of the research tools and instruments is outlined.

Chapter 6 deals with the collection and analysis of research data. The questionnaire, interview, and documents are the source of data analysis. The analysis is based on the empirical and literature evidence and relevant documents.

Chapter 7 concludes the research by presenting the findings, recommendations, and conclusions of the study.

1.14 Conclusion

This chapter provided highlights on the scholarly perspective of disciplinary management in the public service. The fundamental elements of this chapter are a synopsis of the literature review, the appropriate research method, the motivation and limitation of the study, the objectives, and the preliminary framework of the research.

The literature review indicated, amongst others, the significance of discipline management, the disciplinary norms and standards, the disciplinary procedures and processes, and the forms of discipline. Discipline management encompasses all these critical factors which are interrelated. The basis for the study was articulated, and a summary of the chapters in this study was presented.

CHAPTER 2: PUBLIC ADMINISTRATION PRACTICES FOR DISCIPLINE MANAGEMENT

2.1 Introduction

The previous chapter focused on the background and rationale for this study. Among the identified objectives, the study is aimed at investigating public administration practices for discipline management. Public administration is not practiced in a vacuum, but is influenced by a number of factors to ensure good governance. It is critical for administrators to understand the interrelatedness of the study of Public Administration and the practice of public administration within the legal context and good governance. This chapter discusses the various public administration practices for discipline management in relation to Chapter 10 of the Constitution of the Republic of South Africa.

Public administration practice is often interpreted to mean public management; however, this notion is explored. A clear distinction is drawn between the administration and management functions and how they relate. This involves processes of planning, budgeting, monitoring, and evaluation. Clarity is provided on how these processes are done in terms of functionality of the organisation, accountability, efficiency, and fairness.

The lesson to be learned includes how to successfully manage organizational change in the public service. The broader concepts of ethical conduct, accountability, bureaucracy, and honourable behaviour are administrative practices which are discussed.

Clarity is provided on the role of administrative theory in public administration and on resource allocation. In addition, an explanation is made on the impact of religion on public administration. The overarching focus of this chapter is on the generic functions of public administration and the general management functions.

2.2 Historical background of public administration in governing

Raadschelders (2011:1) states that as the size of government expanded in the past 100-150 years, scholars across the social sciences were attracted to the study thereof. Amongst these social sciences, is the field of public administration, with the central object of interest being the government. The main objective of public administration is concerned with the internal structure and functioning of government in relation to its interaction with society. There are no clear boundaries that demarcate the study of Public Administration from other academic disciplines. Guerrero-Orozco (2015:23) reflects that in ancient times, the state managed, the administration but its efforts in that respect were anonymous and incognito, since administrative work was indistinguishable from the state's other functions.

According to Bourgon (2011:16-17), in the past, government was seen as the sole provider of public services; however, this perception had since changed in the 21st century. The government's role, among others, is to define and conduct research on the balance of authority by different active participants in the state for collective interest. This implies that the contributions of government, people, and society are integrated for a system of good governance. Mathenjwa (2016:118), in support, alludes to the interdependence between local, regional, provincial, and national spheres of government to carry out important tasks related to social, political, and economic development. To deepen comprehension, Cordes (2017:25) emphasises that the South African economy needs to be transformed and not transferred, and be inclusive of all races, not limited to one race or few individuals.

2.2.1 Politics-administration dichotomy

Peters and Pierre (2012:8-9) state that the practice of appointing elected officials adversely affects the functioning and performance of the administrative system. This practice is a clear indication of undermining the importance of management in an institution. In concurrence, Rolland (2018:3) mentions that service delivery is showing signs of experiencing difficulties, which can be contributed to tensions between the

political and administrative interface, role confusion, and conflict amongst key political office bearers, or between politicians and administrators. However, according to Matshabaphala (2017:297) public administration is more pronounced on the social reality frontier of the philosophy project, as it describes the nature of both the recipients, and the deliverers of public goods.

According to Denhardt, Dehardt and Blanc (2014: 259), the non-insulation of politics from administration carries the potential for corruption. The question of democratic responsibility dictates that the legislature, as the policy maker, is responsive to the public, while the administrative agencies are the implementing arm, and responsive to the legislature. Hence, there is the existence of a doctrine of neutral competence. Stivers (2018:11) asserts that the requirements of democracy will be met by achieving a neutral and competent bureaucracy that will execute the orders of the legislature. Goodnow (2010) confirms the doctrine of neutral competence, and the politics-administration dichotomy which continues to influence the field of public administration.

According to Peters and Pierre (2012:3), public administration is embedded in the surrounding society, controls vast resources, and is a major source of regulations. The interested societal groupings include trade unions and employers' organisations. Public administration must be understood in the context of a complex tripartite relationship of politics, administration, and society. The debate on the politics-administration dichotomy concludes that policies are implemented when they are formulated and formulated when they are implemented. According to Denhardt *et al.*, (2014: 259) public managers are confronted with the challenge of ensuring that there is effective and efficient service delivery. They are at the same time required to be fully responsive to their administrative superiors, the legislature, to the citizenry and to the principles of democratic governance. Vastig (2015:14) asserts that the conflict between efficiency and responsiveness creates problems for public managers. The managers are expected to manoeuvre between politics and administration on the one side, whilst on the other side, dealing with bureaucracy versus democracy. Raadschelders and Vigoda-Gadot

(2015:121) state, that as a consequence, the difference between politics and administration has become blurred, demonstrated in Table 2.1 below.

Table 2.1 shows four disparities between political and administration tasks. The political tasks are concerned with policy decisions, and administrative tasks deal with policy implementation.

Table 2.1: Difference between politics and administration

Political tasks	Administration tasks
Determine purpose, scope of service, tax level, constitutional issues	Advice, analyse conditions and trends
Pass laws, approve new projects and programmes, ratify budgets	Make recommendations on all decisions, formulate budget, determine service distribution formulae
Make implementation decisions such as site selection, handling complaints, and overseeing administration	Establish practices and procedures and make decisions for implementing policy
Suggest management changes accounting officer, review organizational performance in accounting officer's appraisal	Control the human, material, and informational resources of organization to support policy and administrative functions

Raadschelders and Vigoda-Gadot (2015:121)

2.2.2 Public administration and the rule of law

Bourgon (2011:9) states that the classical model of public administration was founded on a number of conventions which includes respect for the rule of law, a strict separation of politics and administration, and meritorious public service operating under the principles of anonymity and political neutrality. Olsen (2015) confirms that government is seen as the primary agent responsible for serving the public good. Public service is governed by prescribed rules and is accountable to the elected officials.

Public servants are required to exercise less discretion in the provision of public services. Public servants must abide by the rule of law as affirmed in the classical model of public administration. This concept (Kyritsis, 2017) encourages the separation of powers among the legislative, executive, and the judiciary. It allows for checks and balances in the exercise of authority and protects society from an excessive concentration of power. According to Szypszak (2011:3), the rule of law has a direct influence on the work of public administration and in the decision-making process. The state is responsible for developing formal laws in the form of legislation, regulations, directives, and collective agreements, which are most often ignored by civil society. Peters and Pierre (2012:348) state that the rule of law allows for consistency and accountability in government. It allows for recourse on administrative decisions and ensures fairness by protecting the rights of employees at the workplace. Government may be interpreted to mean public service, which is the centre of public administration.

Szypszak (2011:10) states that South Africa is regarded as a constitutional democracy as it is governed by formal laws. The source of formal laws is the Constitution, where operational and functional perimeters are set with regard to powers, rights, and limitations. This study introduces various pieces of legislation in South Africa which govern public administration. These include: the Constitution of the Republic of South Africa, 1996; Public Administration Management Act, 2014 (Act 11 of 2014); Public Service Act 1994, (Act 103 of 1994); Labour Relations Act 1995, (Act 66 of 1995); Public Finance Management Act 1999, (Act 1 of 1999); Prevention and Combating of Corrupt Activities Act 2004, (Act 12 of 2004); Promotion of Access to Information Act, 2000 (Act No. 2 of 2000); Promotion of Administrative Justice Act, 2000 (Act 3 of 2000); Promotion of Equality and the Prevention of Unfair Discrimination Act 2000, (Act 4 of 2000); Basic Conditions of Employment Act, 1997 (Act 75 of 1997). All these legislative frameworks assist in the effective management of discipline in the public service.

As mentioned in section 2.2.1, according to Peters and Pierre (2012:3), public administration is embedded in society, controlling extensive resources, and is a notable source of regulations. Trade unions and employers' organisations form the interested

societal groups. Raadschelders (2011:23) states that regulations are an acceptable norm amongst policymakers and practitioners to enable the functioning of government and avoid the unethical conduct of greed. Tummers, Bekkers, Vink and Musheno (2015) confirm that the disciplinary framework in the public service constitutes a law, which operates within the ambit of public administration. The implementation and decisions emanating from the framework are the product of legislation, collective agreements, and directives. The objective of this disciplinary framework is to ensure the effectiveness of the state in managing discipline.

The deduction, according to Van Thiel (2014:1), is that Public Administration is not complete without the application of the principles of administrative law. Mathebula (2019:342) and Szypszak (2011:10) point to the need for an understanding of the Constitution to provide assistance with the basic principles of the Constitution, administrative, and common law in promoting good governance. Frederickson *et al.* (2012:2-3), Luyt and Matshaba (2019:2) indicate the critical role of administrative law on the interpretation and application of legislation on moral, philosophical, and political consideration. Administrative law influences judicial judgements and case law decisions, which have an impact on the public administration paradigm. Judicial judgements and case law decisions also offer lessons on good governance (Bourgon, 2011:8).

2.3 Public management functions in public administration

According to Theletsane (2014:26), public management functions are considered as merely a continuation of the practice of public administration. Public management is defined as the ability to convert resources into services and products for use by society. Public management does not contain the whole ambit of public administration, but represents the broader perspective. The aim is to achieve more with less through effectiveness, efficiency, and an accountable public service. Mashigo and Tshabalala (2013:307) state that different public administration scholars concur that public management, apart from the above functions, is a social process involving aspects such as judgements, decision-making, guidance, and motivation. Public management is the attainment of public goals of service delivery through proper planning, organising,

leading, and control. Raczkowski (2016:13) contends that actions in public management have to be efficient, which means that they should be both effective and economical and balance the material and moral costs. The above suggests that from the management science view, governance is perceived through leadership (leading and motivation) maintaining other management functions including planning, organising, and control.

According to Jordaan (2013:33), there are fourteen (14) principles of administration which are essential to improve the efficiency and effectiveness of organisations. The fourteen principles of administration are division of labour, authority, discipline, unity of command, unity of direction, subordination of general interests, remuneration, centralisation, hierarchy, order, equity, stability of personnel, initiative, and unity of personnel or *esprit de corps*. Botes (1992:284) introduces the reformulated and simplified administrative duties or functions of management, which are planning, organising, staffing, directing, coordination, and budgeting (POSDCORB), including (Hendrickz and Engelbrecht, 2019:3) leadership and management control.

2.3.1 Planning

According to Theletsane (2014:38), planning is about making a decision on what to do, when to do it, and how it is to be done. It bridges the gap of where one is going and is a participatory process. The plan outlines the organisation's objectives, mission, and vision. Planning is regarded as the basis for other management functions in that it directs the activities of an organisation. Nigro and Kellough (2014:154) refer to planning as a system of managing performance where the managers, in agreement with the employees, develop an individual performance plan. The plan defines the job responsibilities, performance expectations, and performance measures.

Planning is important to service as a guiding tool on the resources required for the successful implementation of government programmes. The individual performance plans are developed and informed by the broader organisational strategic plan. The organisational plan within the context of the public service is referred to as the service

delivery plan (Subban and Theron, 2016:44). The disciplinary process needs planning for the fair and objective outcomes. Planning involves the approach which will be used to investigate a particular matter, the appointment of a suitable chairperson for disciplinary hearing and the departmental representative, preparation of the bundle of documents to be used as evidence, how the evidence will be presented, and the communicating of the decision (Theletsane 2014:38).

2.3.2 Directing

Solomon and Steyn (2012:127) state that in directive leadership, the leader establishes employee direction by means of arranging and coordinating task accomplishment, allocating required activities, and stipulating rules and procedures to be complied with. Directive leaders subscribe to the notion that, to achieve outstanding delivery, goals must be unequivocal, stimulating, and captivating.

The powers and functions of the Commission, in terms of section 96 of the Constitution are, amongst others, to give directions aimed at ensuring compliance with personnel procedures relating to recruitment, transfers, promotions and dismissals. The Minister for Public Service and Administration, in terms of section 3 of the Public Service Act, 1994 (as amended), makes regulations, determinations, and directives to ensure implementation of norms and standards in relation to functions of the public service (RSA Constitution: 1996).

2.3.3 Coordinating

The Department of Public Service and Administration plays a coordinating role for the state departments of the government of South Africa. The different functions that are being coordinated include service delivery, labour relations, and discipline. Its role on labour relations and discipline management is to establish and ensure that the disciplinary framework is effectively implemented (PSA 1994).

Minbaeva and Anderson (2013:823) state that coordination is all about ensuring the implementation of work for the success of the project. According to Melis (2013:70-71), coordination is the corroboration of different roles in an activity, which are interrelated and are part of the action plan to achieve the set goal. It is critical during the coordination process to understand the strengths and weaknesses of the role players for knowledge of how they will complement each other.

2.3.4 Reporting

Reporting is a management tool that influences decisions and keeps role players informed of the operations in an institution. According to Das (2013:19-22), there has been a global call for transparency on human resource activities and the reporting thereof, on areas such as training and development, pay and benefits, participation and staff development, equal opportunities and many others. Dube and Maroun (2017:26) confirm that social reporting and human resource disclosures are tools that extend a broad dialogue to stakeholders. Reporting may be described as the communication of social and environmental effects of an organisation's actions to stakeholders, including society. Section 92 of the Constitution states that Members of the Cabinet must act in accordance with the Constitution, and provide Parliament with full and regular reports concerning matters under their control (RSA Constitution 1996).

2.3.5 Leadership

Mancontywa (2019:19) suggests that transformational leadership is an approach to leadership based upon the leader-follower relationship which collectively engages others in a manner that raises stakeholders toward higher levels of motivation, accomplishment, and morality. In support, Ziqalo (2019:12) mentions that there is a dire need for public sector leaders who view their mandate away from the concept of transacting, and more towards the ethos of transforming their people. In other words, there is a need for a leader who is collaborative, rather than confrontational. De Metz, Davis, and Surju (2020:4) assert that managers play a fundamental leadership role, as

they are expected to monitor activities and require the ability to make sense of the activities needed to successfully implement the strategy.

Naff, Riccucci, and Freyss (2014:396) state that an organization's leadership is critical for a collective and inclusive environment. The success of an organization is dependent on leadership that is committed, and takes into cognisance the importance of equality and trustworthiness. Lack of leadership creates doubts amongst employees of management's level of competency and biasness. Tondi (2019:12650) emphasises the requirement of management in a good leadership regime to visibly become involved in the achievement of organisational goals and create an environment conducive to delivery of the core mandate.

According to Theletsane (2014:39), leadership is defined as the process of directing the behaviour of others towards the accomplishment of formulating plans and reaching goals and translating plans into reality. Leadership is apportioned with blame every time things do not go well in the organisation. Shava and Heystek (2015:2) confirm the role of leadership in influencing people to move in the right direction, give orders, manage conflict, communicate with junior staff, and provide motivation. Leadership plays an important role in every step of the management process and public administration functions.

It is deduced from Theletsane (2014:26), Mashigo and Tshabalala (2013:307), and Raczkowski (2016:13) that public management advances the good interest of civil society through the application of management functions. These functions are the underlying factor for effective and efficient delivery services to citizens as emphasised by Tondi (2019:12650), Solomon and Steyn (2012:127), and Klingner, Llorens and Nalbandian (2016:22). The effective application of public management and administration functions ensure that the organisational objectives are achieved (Jordan, 2013:43; Shafritz *et al.*, 2013:225). The major factors which would contribute to effectiveness are compliance to the legislative and disciplinary framework, monitoring, and evaluation of conduct and periodic review of the policy (Sibanda, 2017:334).

2.4 Effectiveness in public administration and management

Denhardt *et al.* (2014: 259) state that public managers are confronted with the challenge of ensuring effective and efficient service delivery. They are at the same time required to be fully responsive to their administrative superiors, the legislature, the citizenry, and to the principles of democratic governance. According to Frederickson *et al.* (2012: 61) the conflict between efficiency and responsiveness creates problems for public managers. Managers are expected to manoeuvre between politics and administration on the one side, whilst on the other side it is bureaucracy vs democracy. In an administrative bureaucracy the nonelected officials command significant policy-making power with regard to democratic policies and are protected by the civil service mechanisms and hierarchy.

The statements by Denhardt *et al.* (2014: 259) and Frederickson *et al.* (2012: 61-62) affirm that managers function in an environment which requires firm decision-making for the survival of the organization. The effectiveness and success in any public organization is determined by the goals it sets. Senior public officials who manage public affairs of government are responsible for the design of strategies and for ensuring implementation. The managers are the key drivers for the success of any organization. All effort must be made to ensure that these managers are supported to take considered decisions and manage effectively. According to Robinson (2018), the representative organisation is a notion of legitimising bureaucratic power. An argument raised is that the public service must resemble the interest of the social interest of the ruling party. To carry out its responsibilities effectively, the public service must be associated with the concerns and values of the dominant ruling party. The administrative orthodoxy in a representative organisation accepts the need for organizational arrangements by conferring various benefits, which includes efficiency, making the merit the basis of public-sector employment, and strengthening the role of technical expertise in decision-making.

According to Cameron and Green (2020:52), public management is regarded as the formal and informal processes of guiding human interaction toward the achievement of

organisational objectives. Management occurs within organizations, and organizations are ineffective without management. Peters and Pierre (2012:9-10) state that honesty and accountability are regarded as important for building an effective and efficient government which is respected by the society. A government which is considered to be equitable and fair builds trust within the civil society.

It is deduced from Frederickson *et al.* (2012: 61-62) and Robinson (2018) that a distinction of responsibilities should be maintained between administrators and politicians to ensure effective service delivery. The Public Service Commission should deal with the issue of role clarification and report non-compliance and non-adherence to Parliament. This relationship is emphasised by Denhardt *et al.* (2014: 259) and Frederickson *et al.* (2012: 61-62), who imply that the role of politicians should be to determine the vision, and managers should develop and drive the strategy or plan to achieve it. Peters and Pierre (2012:9-10) provide a concise explanation that organizational objectives are not set in isolation from the interest and values of society, which may be the reason for the existence of the relationship between administration and politics.

2.5 Efficiency in public administration

Frederickson *et al.* (2012:43-44) state that public administration scholarship revolves around a core set of belief which collectively serve to push for theoretical development. The belief is that efficiency and democracy are compatible and the operations of government are divided into decision and implementation. These beliefs led to public administration scholars championing efficiency as the central goal of public organizations. Mbara (2019:201) asserts that public administration scholars had a vision of a good society. The scholars maintain that good society has no poverty, no corruption, and no extreme wealth. Good society promotes science and condemns waste and inefficiency. Lewis (2015:213) adds that public administration encourages professionalism by administrators who are able to break any barrier to good society provided they are vested with the requisite power and authority. According to Peters

and Pierre (2012:7-8), management has internal dynamics and implications for organizations. The focus of public administration reform in the past decades was on the management of government to ensure efficiency, effectiveness, and to be economical. Okafor (2018:7) confirms that the hierarchical structures in public administration have been under attack due to their rigidity. Nevertheless, hierarchies had become a key player to efficient administration as an instrument for the implementation of law. This occurs through ensuring uniformity, accountability, and predictability as an approach for the public sector.

According to Chakrabarty (2012:17-18), the academic connotation and study of public administration began picking up momentum in the 1920s. It was Frank J Goodnow who fathered in practical terms the evolving of the discipline of public administration. He drew the functional distinction between politics and administration. Public administration was characterised as non-partisan, and the mission was to achieve economic and efficiency emancipation. It was premised on the scientific principles of management. The seven principles are coined in the form of planning, organising, staffing, directing, coordinating, reporting, and budgeting (POSDCORB). Notwithstanding other principles, economy and efficiency remained the main objective of the administrative system. The essence of the statements by Frederickson *et al.* (2012:43-44) confirms efficiency as the focal point for good administration. Kroukamp (2017:43) defines the context of public administration to include delivering more services to the public without having to spend much money comparatively. The delivery of public services in the main is dependent on tax revenue to cater for a wide range of social services to the citizens. These public affairs include pensions for old age, social grants, subsidised human settlement, education, and health services. Efficiency may be defined as the cost effective means of delivering services, which includes the management of discipline.

The deduction (Lewis, 2015:213) is that public administration is concerned with the ethos of professionalism, with officials upholding morality in executing their functions in service delivery. The context in Mbara (2019:201) and Pierre (2012:7-8) connect professionalism and service delivery, with the focus placed on doing more with less, and

eradicating any form of corruption which seeks to abuse state resources. The efficient use of resources ensures the sustainable delivery of services by the state, as derived from Frederickson *et al.* (2012:43-44) and Kroukamp (2017:43).

2.6 Accountability in public administration

Administrative accountability (Shafritz *et al.* 2013: 188) refers to that administrative responsibility when officials become answerable to their actions on the general notions of democracy, morality, and the implementation of predetermined legal mandates. Kroukamp and Cloete (2018:66) concur that administrative responsibility is an internal matter which needs professionalism or professional standards and codes. This is because modern policies need expert and specialised advice on the proper contextual interpretation and application thereof by public officials. External maintenance of the administrative responsibility through legislative framework and controls to curb corruption is required. According to Bovens, Goodin and Schillemans (2014:5), accountability is about providing answers for one's behaviour. Public administration studies of public accountability tend to focus on forms of accountability in public service provision and regulation and on systematic, structural forms of accountability.

Denhardt *et al.* (2014: 259) state that the non-insulation of politics from administration poses the potential for corruption. The question of democratic responsibility dictates that the legislature, as the policy maker, is responsive to the public, while the administrative agencies are the implementing arm and thus responsive to the legislature. Hence, the existence of a doctrine of neutral competence. Masiloane and Dintwe (2014:193) agree that this doctrine dictates that the requirements of democracy will be met by achieving a neutral and competent bureaucracy which will execute the orders of the legislature. The doctrine of neutral competence and the politics-administration dichotomy continue to influence the field of public administration. Peters and Pierre (2012:673) conclude that in order to meet the set performance targets, individuals are assigned tasks and responsibilities whereupon they become answerable to their actions on the level of performance. The sanctions and rewards which underpin accountability can be both

tangible and/or symbolic. Meaningful accountability is enforced through the availing of capacity, resources, some combination of authority, and a supportive environment.

It is deduced from Shafritz *et al.* (2013: 188) that in a democracy, public servants should be answerable for their actions in the course of performing their official duties. Answerability by management is synonymous with accountability to ensure a responsible administration (Bovens, Goodin and Schillemans, 2014:5; Peters and Pierre, 2012:673).

2.7 Ethics and public administration

Raadschelders (2011:23) states that there are beliefs that Public Administration has achieved moral authority by serving the citizens, when actually the scientific authority of the study is still weak. Kapten (2017:352) argues that the foundation of government in the past was solid for decades; however, the current situation is faced with a crisis influenced by the legitimacy, ethics, and morale of the public service. Further, there is a confidence crisis among scholars of public administration. Policymakers and practitioners agree that regulations must be in place to avoid unethical behaviour, such as greed (Raadschelders, 2011:23). According to Holzer and Schwester (2011:356), one of the causes of unethical conduct is the condition under which decisions are taken based on convenience and efficiency. This happens when decisions taken are influenced by the situation of the economy at a given time. There is a need for administrators to apply their minds and take balanced decisions which are influenced by diverse and competing demands. Mafini (2014:119) implies that public employees must work within the framework of goals to execute their administrative functions, *via* loyalty to the organization, responsiveness to the needs of the public, and consideration for the employees' own objectives and desires.

Shafritz *et al.* (2013: 185-186) state that leaders are expected to act responsibly at all times and they lose respect if they act contrarily. The codes of honour have their origins in ancient practices which taught people how they should conduct themselves when faced with danger. The conduct also applied where officials were confronted with

temptations, and to their expected behaviour before high-ranking officials and authorities. Cezula (2017:23) emphasises that the basis for honourable behaviour is rooted and contained in the Bible. It is honourable behaviour for instance to not kill, steal, or bear false witness. The codes of honour were eventually, with the shift in paradigm, escalated to occupational categories like the clerics, masons, and soldiers in the military. According to Holzer and Schwester (2011:356), the goals encompass broader ethical dilemmas and apply where public employees find themselves having to choose between obeying policy and serving the needs of clients. Bureaucrats are appointed to uphold the public interest, and failure to do so results in corrupt practices. The potential cure for corruption is underpinned by organizational codes and ethics.

2.7.1 Principles of ethics

According to Holzer and Schwester (2011:350-351), ethics refers to a set of normative guidelines which are aimed at resolving conflict for the well-being of society. Administrative ethics places emphasis firstly on the rights and duties that must be respected when dealing with individuals, and secondly on the conditions that the collective practices and policies should address in terms of issues which affect the wellbeing of individuals and the society. Abiola, Lawal, and Odunjo-Saka (2018:229) assert that unethical conduct may be as a result of personal values or personality traits. An organisational structure without ethical rules of conduct is bound to fail in the achievement of its set goals and objectives. There are nevertheless organisations which do not consider the importance of determining clear ethical standards. Notwithstanding a good vision and mission as the characteristics of an organisation, ethical standards remain the enabler of success in the achievement of goals and objectives

Lawmakers are guided by the principles of ethics and good morals in enacting fair and sound legislation (Szypszak, 2011:6). Shafritz *et al.* (2013: 189-190) state that the abuse of authority has been identified as unacceptable conduct which may result in dismissal, and must be discouraged in democratic societies. Administrators are most often inclined to make arbitrary decisions which expose them to acts of misconduct,

corruption, unethical and inhumane behaviour. Venter (2019:5) opines that these practices are circumvented in democratic societies through the frameworks of constitutional, legal, and procedural requirements. The activities of public administrators become subjected to monitoring and oversight by the democratic parliament, executive, judiciary, and other pertinent constitutional institutions.

2.7.2 Morals and behavioural values to promote sound administration

According to Szypszak (2011:6), norms and moral codes are legitimate laws, and guide behaviour in the form of social, spiritual, and philosophical beliefs. Morals are practiced and become a cultural norm within a particular community. Behaviour and its acceptability is a societal issue and varies from one community to the other. Shai (2019:159) however, mentions that communities still ascribe to the philosophical Golden Rule with the same fundamental notion of right and wrong. The rule of law is not the sole determinant of human behaviour and conduct, mutual respect for civil society leads to humans' co-existence. The democratic state recognises fundamental human rights as an effective rule of law which entails ethical and moral practices. In confirmation, Holzer and Schwester (2011:354) state that bureaucracy is concerned with consistent actions and behaviour.

Shafritz *et al.* (2013:187) state that government agencies have adopted formal guidelines and standards of conduct on ethical behaviour. The objective is to ensure that employees behave properly and do not abuse their official positions. This attitude assists in curbing corruption related practices by public officials. The standards of conduct give emphasis to the obvious principles of how officials are expected to conduct themselves. It serves as a formal legal code, of which the contravention and violation thereof carry severe penalties. According to Sunder (2011:63-65) the ethical teachings of the Bible in a way have a different influence and an impact in public servants. These are referred to as moral laws which applied to the Jews and Christians who adopted the Old Testament as their scripture. Howes (2014:8) concludes that the basis of ethical morals is the bible, which culminated in laws concerning the appointment of leaders and

officials who judge the people fairly. The success and effectiveness of the disciplinary framework draw lessons from moral laws and the teachings of the bible.

It is deduced from Kapten (2017:352), Holzer and Schwester (2011:356), Abiola, Lawal and Odunjo-Saka (2018:229), Szypszak (2011:6), and Shafritz *et al.* (2013: 189-190) that public administration embraces professional and ethical conduct. This means that public service must uphold the values of the organisation (Mafini, 2014:119). The overarching principles of ethical conduct are loyalty and obedience. As is the case with discipline management, ethics management is bound by regulations and the law as implied in Sunder (2011:63-65) and Howes (2014:8). Public administration is therefore at the centre of ethics management in view of the commonalities with discipline management (Shafritz *et al.*, 2013:187).

2.8 Generic functions of public administration

This section discusses generic functions of public administration, which constitutes policy-making, financing, provision, and utilisation of personnel, organising, determining work procedures and methods, and control.

2.8.1 Policy-making

Stein (2018:95) argues that policy-making is the earliest approach to public administration and deals with the rights and obligations of government. The emphasis is on the relationship and the separation of power between the three spheres of government. The functioning of government dictates that policy and administration are two distinct functions which are performed at different levels. Administrators are there to ensure that the policies of government are implemented. Mngomezulu (2018:46) affirms that public administration policy-making process is a parliamentary political function which is performed at an executive level. This approach is concerned with the formal analysis of organizational structure and the constitutional delegation of authority and responsibility of the three spheres of government. Cachalia (2019:56) agrees with this

focus on the ways and means of keeping public administration responsible for the elected representative branches and the citizens.

Katusiimeh (2017:55) states that empirical evidence had shown that bureaucrats are often engaged in policy-making processes of government, whilst on the other side, politicians do get themselves involved in management and administration matters. According to Chakrabarty (2012:14), the public policy approach is aimed at improving the public policy process. This is a systematic and scientific study, which is aimed at the improvement of the public policy system. The focus is on the public and their problems for the shaping and betterment of society, and about the betterment of people's democratic and political capabilities. The betterment of public policy requires a consultative process, and helps to explain the causes and effects of various government activities.

According to Kombate Wang and Dong (2018:80), it is thus critical to think of politics and administration as different elements of the same process of formulating and implementing policy. Whilst administration in the main is about the implementation and communication of political decisions for society, recent developments necessitate direct inputs from citizens into the public bureaucracy. Venter, Chuchu and Pattison (2016:41) relate this communication to the consumer-choice based model where citizens as consumers make direct inputs and preferences to the bureaucracy without channelling them through political means. Customer choice and preference send a signal to bureaucracy on priority needs and resource allocation. The cooperation between civil society and public administration take place at the local level. The debate on politics-administration dichotomy (Mbokazi, 2018:23) concludes that 'policies are implemented when they are formulated and formulated when they are implemented'.

2.8.2 Financing

Motloli-Litjobo and Makhele (2019:76) state that a person cannot start a business without money, and a public institution cannot resume work without capital. According to

Musgrave and Jordaan (2013:39) financing in public administration focuses on the prioritisation and use of scarce resources, ensuring effective stewardship over public money and assets and achieving value for money in meeting the objectives of government, i.e., rendering the best possible services. Effective stewardship involves budgeting, which includes fiscal planning, accounting, and control (Shafritz *et al.* 2013:225). Thobejane and Fatoki (2017:9415) view budgeting as a strategy to manage personal finances with the purpose of avoiding negative outcomes such as debt accumulation. In terms of the section 38 of the Public Financial Management Act, the accounting officer for a department must ensure that financial controls are in place (PFMA:1999).

Since general development and governance issues on the continent are petrified, financial support for government activities is secondary to most of government's allocations (Phago, 2015:226). Enhancing institutional capacity through policy and financial reform, including skills development, is a crucial step towards remodelling the public sector (Vyas-Doorgapersad and Shava, 2021:37). In support of this, Lethoko (2014:780) states that many organs of state fail to spend their budgetary allocations for various reasons, including a lack of capacity and skills, incompetence, financial mismanagement, inadequate procurement mechanisms, and corruption.

2.8.3 Provision and utilisation of personnel

Dube and Tshelane (2017:813) state that the function of personnel is to service line functions in public institutions in order to achieve its core mandate. Oke, Aigbavboal, and Thwala (2016:1661) mention that in the course of performing their duties, personnel are entrusted with recruitment, training, monitoring and evaluation, compensation, discipline, and termination of service of employees, amongst other responsibilities. Mokomane and Potgieter (2020:8) assert that the employees of an institution are collectively referred to as personnel.

According to Redpath and Luddy (2015:18), human resource management, or personnel administration, is a multifaceted function that includes the generic enabling functions of policy-making, financing, staffing, organisation, procedures and control, and labour issues. Just as no government department can function without money; it cannot function without people to carry out its work. Public institutions generally have a division that deals with human resource management based on the legislation of the government of the day. Jordan (2013:41) states that human resources are about people and the administrative processes associated with them. The people aspect of human resources concerns employee satisfaction and motivation and performance. Bencherif and Mouss (2021:798) concur that the personnel function consists of a network of functions and functional activities, supported by analytical methods and normative guidelines to provide competent, motivated personnel for the public service environment.

2.8.4 Organising

According to Lane (2009:13), public management, or public administration, deals with organising human resources and developing performance standards against which the staff are assessed. Maluka, Diale, and Moeti (2014:1023) state that factors which enhance service delivery are norms and standards, which involve the influence of law on public administration, and include the notion that public administration is goal orientated. Mondol (2020:177) suggests that the human resource norms and standards may set goals, determine the programme, and prescribe the delegations of authority.

Organizing, according to Shafritz *et al.* (2013:225), is the establishment of the formal structure of authority through which work subdivisions are arranged and defined for a particular objective. Theletsane (2014:31) states that the structure has to be set upon completion of the policy-making process. Napier (2018:174) confirms that the structure serves as the support base to achieve the objectives of the policy. Responsibilities and delegations are attached to the duties assigned to specified officials.

There is a sense in which we can say that the formal bureaucracies are the think tanks of public administration, particularly when it has to do with initiating quality ideas to drive the various businesses of modern government (Igbokwe-Ibeto, 2019:1). The need for grand strategies of domination to create an operational platform for resource exploitation to occur became inevitable (Mathebula, 2019:346). Organising is focused on a hierarchical structure and centralization, strict conformity to the policies and procedures, and standardization (Edwin and Anuoluwapo 2020:109).

2.8.5 Determining work procedures and methods

According to Ndaguba, Nzewi, Ijeoma, Sambumbu, and Sibanda (2018:2), work procedures are important to serve as guidelines on how public officials must carry out their functions. Work procedures specify what needs to be done, and the responsibility thereof. Fitzgerald and Latib (2015:252) suggest that the government and public administration are characterised by regular activities in civilised society. It is against this background that work procedures are developed for the legislature, government, and administrative functions. Jordan (2013:41) states that methods and procedures relate to administrative practices that are designed to make it possible for administrators to carry out their daily work. These methods and procedures are not law, but they are derived from a combination of the many agreed authorisations the institution gives to the administrators to do their work. Nzewi (2013:12) mention that methods and procedures are usually put in writing in the form of manuals or managerial policies and need to be revised regularly to ensure improvement and control.

2.8.6 Control

Masiloane and Dintwe (2014: 182) state that sufficient control measures are a course of action to curb corruption. The barometer for the effectiveness of organisational culture is the development of policies, procedures, and systems that enable employees to act with ethical integrity. According to Mofolo (2020:101), control-of-bureaucracy theory in public administration is associated with matters of compliance and responsiveness. Jordan (2013:43) states that the ultimate aim of control over the administration is accountability

and transparency of government. Control is applicable to generic public administration functions, including financing, staffing, procedures and methods, and organising, as well as control itself. Coetzee (2017:161) asserts that the control process normally starts by the setting of standards and then measuring the performance against the set standards.

According to Shafritz *et al.* (2013:225), control is that aspect of management which is concerned with the comparison of actual versus planned performance, as well as the development and implementation of procedures to correct substandard performance. Control is inherent in all levels of management and serves as a feedback process, which ideally should only report the unexpected situations. Ezekiel (2017:64) asserts that the control system is there to ensure that objectives are executed and achieved as planned. The affirmation of accountability and feedback as requirements for control, as suggested by Jordan (2013:43) and Shafritz *et al.* (2013:225), may be linked to the principles of disciplinary framework. The aim with the disciplinary framework, including the code of conduct, is to control ethical behaviour in the performance of the functions. It is a performance behavioural standard to achieve the public service goals of service delivery.

It is deduced from the above discussion that the generic functions of public administration play a critical role in the management of discipline. Success in discipline management means effective and efficient use of resource and proper application of the human resource functions. This analogy is derived from Doorgapersad, Tshombe and Ababio (2013:155), Redpath and Luddy (2015:18), Jordan (2013:41), and Maluka, Diale and Moeti (2014:1023). These human resource functions require monitoring and evaluations to ensure consistent and improved performance, as argued by Vyas-Doorgapersad *et al.* (2013:156).

2.9 Conclusion

The lessons learned in this chapter are that public administration is governed through formal laws of which the Constitution remains the corner stone. The administrative procedures and processes are outlined in the Constitution to ensure consistent

interpretation and application of administrative practice. The Constitution captures the principles of public administration, which emphasises professional and ethical public service.

Public administration is a dynamic field, which is influenced by several factors, including change in legislation, initiatives which add value to the field, the outcomes of peer performance reviews, and ensuring that government adapt to change and implement the newly developed models. Sound public administration is eminent in an ethical and moral conscious environment. Effective and efficient public administration becomes possible where there is accountability and people are answerable for their actions.

Discipline management is influenced by the rule of law, and its activities are enabled by the management and generic functions of public administration. The ultimate goal and outcome of discipline management is the realisation of good governance. Good governance is characterized by a clear distinction between politics and administration in ensuring service delivery, to the benefit of civil society.

CHAPTER 3: DISCIPLINE MANAGEMENT

3.1 Introduction

The previous chapter focused on Public Administration theory and practice in ensuring effective discipline management. The emphasis was on the importance of the Constitution and the rule of law in public administration. Discipline management is explained within the management and generic administrative functions, and give relevance to the study. The discussion in this chapter outlines the theory of discipline management framework, and demonstrates the practice in public service. The disciplinary framework for the public service is mainly derived from and forms part of various pieces of legislation, which lays the foundation for discipline management. This framework outlines fairness in the workplace and takes into account the rights of employees. The employer has the responsibility to create an environment conducive to work, through the norms and standards that regulate the conduct of employees. This chapter further discusses the role of workplace culture in the management of discipline.

The enabling disciplinary framework and policies include the Constitution, which is the tenant of our democracy and human rights, the Labour Relations Act 66 of 1995, and Public Service Act 103 of 1994. The framework provides the requirements for the rules of natural justice and their reasonableness.

The current situation is outlined insofar as discipline is managed in the public service. The focus is on the practice in the application of disciplinary procedures and processes. The processes include precautionary suspension, transfer of alleged perpetrators of allegations of misconduct, the investigation of cases of misconduct, issuing of notice, conducting of disciplinary inquiry, communication of outcome, handling of appeals and keeping of records.

3.2 Origin and nature of discipline management

This section deals with the origin and culture in managing discipline, the context in the disciplinary framework, and the legislative framework that is applicable to discipline management in the public service.

3.2.1 Origin of discipline management

According to *Employee Discipline in the Workplace: Procedures & Principle* (2015), the origin of discipline management is the concept of employee discipline, which was introduced in the early 1900s. It was during that period that Henri Fayol, a noted French management theorist, proposed the 14 principles that he felt were essential to effective management. One of these principles was discipline. Guerreiro, Van Kervel, and Babkin (2013:584) suggest that a disciplined employee is sincere about his work, but also has faith in the policies and procedures of an organization. A disciplined employee would further fulfill the orders enforced on him and respect management. In support of the above statement, Lubaale (2019:40) states that the defence of reasonable discipline in South Africa is anchored in common law and can be traced back to the decision of *Rex vs. Janke and Janke*. In this case, the court ruled that the general rule adopted by Roman, Roman-Dutch law, and English law is that a parent may inflict moderate and reasonable chastisement on a child for misconduct, provided that this not done in a manner offensive to good morals, or for reasons other than correction and admonition.

Knight and Ukpere (2014:589) state that to resolve conflict between individuals and groups, and to ensure a harmonious work environment, managers, supervisors and other leaders utilize disciplinary action to prevent escalation and to maintain industrial peace. Disciplinary action, in its essence, is designed to correct behaviour and to maintain balance in employment relationships. Chisale (2016:7275) suggests that discipline is commonly used in work contexts to monitor employees' behaviour at the workplace. Lumadi (2019:8) concurs; stating that the more educated members of a society are, the more civilized and well disciplined the society is likely to be

Foncha, Ngoqo, Mafumo, and Maruma (2017:9025) state that the demise and absolute outlawing of traditional modes of discipline and the replacement thereof by so-called better disciplinary measures was orchestrated by the evils enacted using traditional modes of discipline. In addition, Chivasa (2017:3) mentions that disciplinary measures are deliberate actions taken by an organisation to put a member of the group under censure, suspension, or expulsion for allegedly committing an act of misconduct. Makhasane and Chikoko (2016:4) confirm disciplinary measures as a means to keep order in an organisation.

3.2.2 Culture in managing discipline

Katz and Flynn (2013:398) state that organisational culture determines the success of an organisation. This may be defined as a tendency by a group in the workplace to make assumptions. These assumptions work if they are taught to new members. The core elements of organisational culture constitute critical values of leadership style, behaviour, and perception. According to Finnermore (1999:343), culture in an organisation is a human activity that is very difficult to observe. Organisational culture is a product of relationships which are in existence between individuals. Liang (2016:7) suggests that the relationships may be experienced and not visualised. The relationship between the supervisor and the subordinate is sensed but cannot be seen.

According to Chamba and Chuma (2016:149), culture is used as the correct way for new employees to behave, thereby, culture can perpetuate organizational survival and growth. Idang (2015:99) states that culture is to be understood as the way of life of a people, which means that society cannot continue to survive without any form of social organisation or institutions, norms, beliefs and taboos. Matthysen (2018:30) agrees, stating that to facilitate innovation, creativity, continuous improvement, or survival, then people need the freedom to question everything, and the culture to make the change happen.

Teise (2015:52) argues that restorative discipline is born of the realisation that traditional punitive disciplinary practices do not succeed in building relationships that create safe and disciplined work environment. This is partly because such practices are largely retributive, focused on punishment, ignorant of the damages to the victims, and fail to prevent misconduct or protect and grant the victims restitution. Chivasa (2017:7) states that restorative discipline embraces and advances sound relationships as vital to restoring discipline and harmony at the workplace. Reyneke and Pretorius (2017:124) add to the above argument and state that the idea of restorative discipline is founded on the restorative justice philosophy that provides an alternative framework to think about wrongdoing.

3.2.3 Contextual framework of discipline management

Maintaining discipline in the workplace, according to Lemmer (2017:26), is crucial to maintain productivity and a positive working environment. Just as an employee has rights, the employer has the right to take action against an employee who contravenes the employer's rules, policies, or procedures. In addition, Small (2017:28) states that misconduct in the workplace can vary from minor to serious offences. Employers are required to have a disciplinary code in place that lists offences, as well as appropriate sanctions. Bester's (2019:62) summary states that the relationship between an employer and employee is based on mutual benefits and respect. Clear rules and guidelines ensure that friction and misunderstandings are limited, which in turn promotes productivity and a positive work environment.

According to Uwizeyimana and Basheka (2017:6), the state, by its nature is a blatantly political enterprise; however, public servants are administrators and should not be involved in politics. The management of discipline is dependent on multiple role players to ensure effectiveness. The process requires a coordination of officials' efforts to ensure a fair disciplinary outcome. Mahomed (2018:10) states that different disciplines are also involved, such as Law, where public servants use courts to interdict disciplinary processes. Van der Waldt (2017:192) suggests that Public Administration embraces

discipline management to ensure governance, and according to Louw (2012:22), financial management ensures efficiencies through discipline management.

Silima (2016:3) implies that Public Administration has been replaced by the New Public Management, and followed by Governance and Good Governance, and the current newly introduced theory is the E-Government which is embracing the requirements of the 4th Industrial Revolution. New Public Management according to Vyas-Doorgapersad (2011:4), represents a pragmatic break from the traditional model of public administration. It is a regime change from a public sector manner based on a repressive, autocratic, and conservative paradigm of public administration with a top-down management approach. According to Louw (2012:89), public administration is the executive branch of government, civil service, and bureaucracy charged with the formulation, implementation, evaluation, and modification of government policy.

According to Katz and Flynn (2013:398) and Finnermore (1999:343), the success of an organisation is defined by relationships and perceptions amongst officials. An act of misconduct, if not deterred, is institutionalised and becomes normal practice and culture in an organisation, for instance late coming. This conduct ultimately develops into an organisational culture of late coming, which is predominant in the public sector. Bester (2019:62), in support, implies that the work environment has a direct impact on discipline and requires proper management. In summary, Small (2017:28) concludes that disciplinary procedures and processes must be in place to ensure effective management.

3.3 Legislative framework

The three main enabling legislative frameworks for purposes of this study which serve as a source of reference for a democratic disciplinary management regime in the public service is the Constitution, Labour Relations Act 66 of 1995, and the Public Service Act 103 of 1994.

3.3.1 The Constitution of the Republic of South Africa, 1996

Chapter 10 of the Constitution lays down the basic values and principles governing public administration. Public administration must, amongst others, be governed by democratic values and principles, which includes the promotion of efficient, economic, and effective use of resources (RSA, Constitution, 1996). According to Uwizeyimana and Basheka (2017:21), the Constitution is the overarching framework and the basis for discipline management in the public sector. This is underscored by Diedericks (2017:656), who emphasises the supremacy of the Constitution as the law which provides for employees' labour rights.

According to Rautenbach (2016:294), section 39(2) of the Constitution provides that when interpreting legislation, and when developing common law or customary law, the spirit, purport, and objects of the bill of rights must be promoted. Dafel (2015:78) states that a natural or juristic person, on the other hand, is only bound by a provision in the Bill of Rights if and to the extent that, the provision is applicable, taking into account the nature and the duty imposed by the right. According to Nyane (2015:5), human rights are not and cannot be absolute, but there are limitations in exercising them as determined by law.

Vyas-Doorgapersad, Tshombe and Ababio (2013) state that people place government and its officials in their trust to provide them with services and products. The social contract usually results in a constitution for the state. Its purpose is to establish principles, values, institutions, procedures, duties, and structures that persist from one ruling party to the next. Kibet and Fombad (2017:353) suggest that with the Constitution, as the highest authority of the state, elected representatives of the people establish laws, and permanent public officials are appointed to implement and uphold these laws. Mango (2020:4) agrees, stating that the most important aspect for purposes of the study, in terms of the Constitution is that everyone has the right to fair labour practices.

3.3.2 The Labour Relations Act 66 of 1995

According to Fasset (2020:38), the Labour Relations Act 66 of 1995 provides a statutory provision for substantive and procedural fairness in dealing with disciplinary processes. Schedule 8 of the Act contains the Code of Good Practice, which serves as source of reference and policy guideline for all public institutions. Murphy (2014:11) suggests that the disciplinary tribunals and court judgements on disciplinary matters are influenced by the level of compliance to the Code of Good Practice. The Labour Relations Act 66 of 1995 (1995:309) is in agreement, stating that the Code of Good Practice deals with aspects of dismissal of employees for misconduct and incapacity. It prescribes the principles of procedural and substantive fairness, and states that each disciplinary case must be treated on its own merits.

According to Fourie (2015:3305), the Labour Relations Act 66 of 1995 gives employees the recourse to cases of unfair conduct in terms of an existing right. Maimela (2019:6) suggests that unfair conduct on the part of the employer that is prejudicial towards an employee will not be permitted in an employment relationship, or a relationship equivalent to that of employment. Botes (2014:126) states that as particular codes of conduct and specific terms and conditions are prescribed for different industries, it is not always clear which of these codes or conditions would apply in a given situation.

According to Geldenhuys (2017:4), in order for a termination of employment to be actionable, it must qualify as a dismissal. Nevertheless, the termination would remain subject to the employee's right to fair dismissal as contained in section 186(1)(b) of the Labour Relations Act, 1995. Diedericks (2017:656) states that although the extensive protection afforded to employees by labour legislation does not provide immunity from being disciplined, the employer's right to discipline is limited by the LRA's codified of unfair dismissal and the Code. According to Lekgela (2017:28), the Code is regarded as the policy statements on disciplinary procedures. In principle, discipline and the consequences flowing from there, for example, sanctions, must take place within the broader framework of the right to fair labour practices. Landis and Grossett (2014:156) agree, alluding to the fact that the employer must take account of the Code when

managing discipline and incapacity. The organisation's own disciplinary code and procedure remain the primary means of doing this. The disciplinary policy provides a statement of the organisation's perspective on discipline, its objective, and how it should be applied.

3.3.3 The Public Service Act 103 of 1994

The Public Service Act, 103 of 1994, is the public service enabling legislation. It grants the executive authorities the power to institute disciplinary actions in their respective departments (RSA, PSA, 1994:45-46). The Public Service Regulations, 2016, outlines the legal processes and procedures which must be complied with to unblock bottlenecks. This includes making provision for the issuing of summons against witnesses, and regulates the period of exclusion and re-employment in the public service if found guilty of specified acts of misconduct (RSA, PSR, 2016:31). Mosito and Molapo (2015:90) state that the object of the Public Service Act is to develop and maintain a stable, efficient, and effectively managed public service.

Mosito and Mohapi (2016:144) state that the employer has the right in the employment relationship to enforce discipline, and that this emanates from the contract of employment. Teise (2015:52) concurs, stating that discipline should be understood as being educative, constructive, corrective, and rights based. Botha, Schultz and Bezuidenhout (2018:4) affirm that discipline should be seen in a positive light, namely as a constructive element of management that facilitates corrective actions, learning, and opportunities for personal growth.

According to Banik and Chinsinga (2016:88), the Public Service Regulations stipulates acts of misconduct including subordination, absenteeism, theft, corruption, involvement in party politics and financial embarrassment that can attract disciplinary proceedings. Mle (2012:27) suggests that the public services are keen to oversee the enforcement of discipline to ensure that staff adheres to the public service code of ethics and conduct, including the Public Service Act. Additionally, Bourgault and Dunn (2014:125) state that

general responsibilities, as well as responsibility for signing specific official documents are incorporated into the provisions of the Public Service Act.

It may be deduced from the above legislative framework that discipline management is enshrined in the legislation. Whilst it is acknowledged by Uwizeyimana and Basheka (2017:21) and Diedericks (2017:656) that the Constitution is the basic source of reference for discipline management, Mosito and Molapo (2015:90) emphasise that the ultimate goal of effective discipline management is to ensure effective, efficient, and economic use of resources. Landis and Grossett (2014:156), in support, state that the effective use of resources results in the success of an organisation and is dependent on compliance with legislation to minimise unfair labour practices at the workplace.

3.4 Definition of discipline management

Tumilaar (2015:795) states that discipline is a management tool used to show an unsatisfactory conduct or action by an employee. For the sake of orderly behaviour, it is required of employees to comply with the rules and regulations to ensure good work discipline. Equally, an organisation requires rules and regulations in order to realise its set goals and objectives. The rules and regulations are a tool to regulate the interaction between the employer and employees. According to Bester (2019:56), discipline at the workplace is aimed at improving and adjusting behaviour by means of applying corrective measures and consultations rather than being punitive and opting to dismiss employees. The employer and employee relationship is based on mutual benefits and respect. The means of eliminating friction and misunderstanding is through the adoption of clear rules and guidelines which improve productivity and foster a positive work environment. DeCelles, Leslie, and Shaw (2019:635) agree, stating that every workplace must have a disciplinary code.

Chipso (2017:33) suggests that an institution needs a disciplinary code in order to ensure consistency in the management of consequence for breaking the rules. These codes serve as the basis for legitimate discipline for an organisation. According to Webster (2013:32), the effective management of misconduct starts at the very beginning when

an employee fails to follow instructions the first time. Golberg and Wilkinson (2019:36) concur that the first step is to make rules. An organisation usually functions on trust and good sense, but when this begins to deteriorate, the creation of rules is required.

According to Wagner and Hollenbeck (2015:16), discipline is a management tool to influence behaviour for the achievement of the goals set by an organisation. Bester (2019:56) views discipline as a means to improve employee behaviour. This means that discipline influences behaviour and the performance of employees. The Commission for Conciliation Mediation and Arbitration (CCMA) (2018:1) suggests that the adoption of the disciplinary code is the remedy to effective discipline management.

It is deduced from Tumilaar (2015:795) and Bester (2019:56) that rules and regulations are key to effective disciplinary management. The behaviour of employees is better managed where there are clear and unambiguous disciplinary management guidelines. The appropriated discipline management tool is the disciplinary code and procedure (Chipo 2017:33 and CCMA 2018).

3.5 Theoretical framework

Misconduct is one of the grounds in law that justifies an employer's terminating of the contract of employment of an employee. Misconduct is unacceptable or improper behaviour (Phulu, 2017:57). The employer has the responsibility to manage discipline, failure which may result in an unruly and chaotic working environment. A working environment which is not conducive has a direct impact on service delivery (Mello, 2013:232). The disciplinary code forms part of the contract of employment of an employee, and the conduct of the employer breaching such contractual obligations and granting such contractual rights has an adverse effect (Van Zyl, 2018:43).

Venter (2016:40) states that a disciplinary code is vital to ensure that there are clear rules and procedures in the workplace for employees to follow. When these rules and procedures are not followed, the employer can apply progressive discipline (warnings) or in cases of severe misconduct, proceed directly to a disciplinary hearing. In support

of this, Bester (2020:53) mentions that a disciplinary hearing must be held to ensure that a fair procedure is followed, as stipulated by legislation, as well as to ensure that there is a substantive reason for the employee to pronounce a sanction. Annandale (2020:50) confirms that the employer must be able to prove that the sanction was appropriate in accordance with the offence.

Management theory prevails as appropriate for this study in view of its prevalence and the context of the research. This is demonstrated, for instance, in the discussion on employee reporting lines for effective discipline management, where compliance monitoring teams should report to someone higher in the management structure than the head of the group they are responsible for overseeing (Stewart, Piros and Heisler, 2019:560). The reporting line is consistent with a minimal amount of control as a top management priority. Eye-to-eye, face-to-face is best for effective management (Watts, 2012:16). This is consistent with the principle that discipline is a management function (PSCBC, 2003:2). The new public management approach requires that implementation should be sensitive to operational reality (Vyas-Doorgapersad, 2011:244). The operational implementation of the discipline framework is further dictated by the principle of fairness (Sebolai, 2014:92). According to Goldman (2013:223) this is executed to counter autocratic practices and foster fairness, equity, and recognition in management practices though impartiality in personal matters.

In organizations, position power is less absolute, and can hence be gained or lost considerably easily or quickly (Miles, 2015:95). The mitigation factors for positions of power are delegations of authority to ensure effective management of discipline, this due to the fact that decisions on the appropriate level of discipline are usually made by management (IFPO, Davies, Gilbride and Hertig, 2015:27). To gain a better understanding, and envision the feasibility of phenomena, theories are used to provide clarification (Ntaopane and Vermeulen, 2019:382). The goal with the use of contemporary management theory is to illustrate the organizational benefits of leaders functioning as architects of inspirational change, communicating the vision of the organization, and mobilizing support for that vision while also ensuring that tasks are

accomplished, resources are managed effectively, and performance is achieved (Paludi, 2013:22).

The Psychological Contract Theory, Organisational Support Theory, and Organisational Commitment Theory are the three management theories discussed within the context of this study.

3.5.1 Psychological Contract Theory

The psychological contract emphasises the role of reciprocity in understanding exchanges in the employer employee relationships (Pelser-Carstens and Surujlal, 2013:89). This theory is consistent with the principle of the Disciplinary Code and Procedures (PSCBC, 2003:2) to promote mutual respect between employees and between employees and employer. The Disciplinary Code and Procedure is a collective agreement between the employer and employee unions. On this note, Ntaopane and Vermeulen (2019:382) view Psychological Contract Theory as the centre around the mutual trust and welfare between the employee and employer and the employees' view concerning the extent to which their contribution is valued, and their personal aspirations considered. Psychological contract (Poisat, Mey and Sharp, 2018:7) and the resultant impact is fundamental to good management practice and to creating an enabling work environment.

3.5.2 Organisational Support Theory

Organisational Support Theory maintains that employees strive to pay back the organisation for the support rendered to them by increasing their efforts to ensure that the organisation meets its goals (Satardien, Jano and Mahembe, B. 2019:2). In line with the Organisational Support Theory, performance of discipline management is measured to meet government strategic objectives in line with its vision, mission, and objectives (ANC, 2012:3). It is against this background that Government introduced the Monitoring Performance Assessment Tool to measure performance and support efforts to manage discipline effectively (Tirivanhu, Olaleye and Bester, 2017:683). The Organisational

Support Theory demonstrates how perceived organisational support affects employee well-being, the positivity of their orientation toward the organisation and work, and behavioural outcomes favourable to the organisation (Keyser and Surujlal, 2013:149). The Organisational Support Theory (Meintjes and Hofmeyr, 2018:4) has attracted considerable attention because of its potential ability to explain the employee and employer relationship.

3.5.3 Organisational Commitment Theory

Organisational commitment is characterised by the strong desire to continue the membership with the organisation (Chowwen, Babalola and Oladipo, 2015:29). This theory is consistent with the principle of the Disciplinary Code and Procedure, that discipline is a corrective measure and not a punitive one (PSCBC, 2003:2). Organisation Commitment Theory (Amofa, and Ansah, 2017:2) has a strong relation with the behaviour of employees. It characterises the employee's relationship with the organisation and the intention to remain or leave the organisation (Visagie and Diedericks, 2018:238). Organisational commitment is a mutual and ongoing relationship (Chinomona, Chinomona and Joubert (2013:121)

It may be deduced from Pelsers-Carstens and Surujlal (2013:89) and Vermeulen (2019:382) that the employment relationship between the employer and the unions play a critical role in the effective management of discipline. This relationship should be underpinned by mutual respect and equal consideration of meaningful contributions to the process. A successful relationship is a motivational factor for employees to support the organisation to achieve its objectives (Satardien, Jano and Mahembe, 2019:2; Keyser and Surujlal, 2013:149). Supportive and motivated employees remain an asset to the organisation and would harness their contract of employment (Visagie and Diedericks, 2018:238).

3.6 Conceptual delineation

The management of discipline at the workplace is explained by various concepts to encapsulate the procedure and process involved in dealing with employee conduct. The most notable concepts discuss the disciplinary procedure, disciplinary process, disciplinary hearing, and disciplinary outcome.

The '*disciplinary procedures*' are outlined in the Disciplinary Code, which is a product of collective bargaining and a mutually concluded agreement (Odendaal, 2016:76). The Code prescribes the timeframes, which are a commitment to deal with discipline expeditiously, and they serve as a guide on how to accomplish this legal requirement (Makhuzeni, Barkhuizen and Maubane, 2015:648). When the employee is charged with misconduct, the employer should notify the accused of the allegations (Burke and Cooper, 2016:37). The employee should be allowed to state a case in response to the allegations. The employee should be entitled to a reasonable time to prepare the response and the assistance of a trade union representative or fellow employee. After the enquiry, the employer should communicate the decision taken, and preferably furnish the employee with written notification of that decision (LRA, 1995:312). Discipline against a trade union trade union representative or an employee who is an office-bearer or official of a trade union should not be instituted without first informing and consulting the trade union (Venter, 2017:1).

The '*disciplinary process*' is a critical checklist to demonstrate if there is a need for the employer to embark on disciplinary action (Lemmer, 2017:26). There are elements of a disciplinary process which have to be considered in order to sustain discipline in the organisation. Firstly, it is required that standard rules and norms are developed in the form of a disciplinary code. The performance, behaviour, and conduct of employees must be monitored and measured against the set standards. Corrective measures must be set and applied where employees fail to meet the performance standard, which may include the invoking of disciplinary action. Lastly, the employer must determine whether the corrective measures yield the desired outcome and if there is improvement in the level of performance (Nel *et al.* 2012:288).

The '*disciplinary hearing*' affords parties an opportunity to state their case. Parties involved in the disciplinary hearing are the employer, employee, and the chairperson. The chairperson should be impartial when conducting the proceedings of the disciplinary hearing and in issuing a verdict of guilty or not guilty. The employer must prepare and lead evidence. In preparing for the disciplinary hearing, the employer must formulate charges, appoint the employer representative and chairperson, prepare relevant evidence, cross-examine the employee, and prepare closing arguments and aggravating factors to support the sanction (Small, 2017:28). In defence, the employee must prepare counter arguments and evidence to prove the contrary, cross-examine the employer witnesses, and prepare closing arguments and mitigating factors. During the disciplinary hearing, the chairperson can make a decision based only on the evidence presented at the hearing (Redelinghuys, 2017:31).

The '*disciplinary outcome*' is the decision pronounced by the chairperson. The penalty should be applied consistently in the same or similar way in which it has been applied to the same and other employees in the past who committed similar misconduct (Finnemore 2013:250-252). Notwithstanding the fact that each case must be treated on its merits, similar acts of misconduct warrant the same disciplinary outcome and sanction (LRA, 1995).

It is deduced from Makhuzeni, Barkhuizen, and Maubane (2015:648) that the disciplinary procedure is a legal requirement for the successful conclusion of hearings. The disciplinary procedure precedes the disciplinary process, which verifies and ticks the boxes to ensure that all actions are observed to the end (Lemmer, 2017:26). The decision of the chairperson binds the employer (Finnemore, 2013:250-252).

3.7 Disciplinary principles

The approach to effective discipline management requires objectivity and fairness at all times. This section focuses on the objective management of discipline, consistency in the application of discipline, uniformity in discipline management, and adherence to the rules

3.7.1 Objective management of discipline

Mello (2013:233) states that the disciplinary regulatory framework provides the right for accused employees to a fair and objective disciplinary hearing, which should be constituted by timeous notification of the hearing details; timeous notification of misconduct allegations; representation at the disciplinary hearing; an opportunity to call witnesses; an opportunity to be given a chance to present the case and to question any evidence; an interpreter in the case where the disciplinary hearing is conducted in a language other than that of the accused employee; have the service record with the organisation considered; have mitigating and aggravating factors considered; know of any findings based on the evidence; and lastly, be advised of the penalty imposed. Bester (2019:62) agrees, stating that under no circumstances may an employer dismiss an employee without a disciplinary hearing. Mars (2017:25) confirms the need for a disciplinary hearing to be held to ensure that fair procedure, as stipulated in legislation, is followed, and that there is a substantive reason for the employee to be dismissed. This ensures that the procedures followed are fair and that there is substantive evidence bearing on the dismissal of the employee. Tshoose (2017:121) in support, states that an employee's dismissal must be procedurally and substantively fair.

According to Bester (2019:62), during a disciplinary hearing, it must be ensured that both the employer and employee are given the opportunity to state their case, a fair process is followed, there is sufficient evidence that the employee committed the offences, and if the employee is found guilty an appropriate penalty is determined. Fritz (2018:172) supports this view, stating that every individual's case must be heard, that an individual has the right to appeal to a competent forum when a fundamental right has been violated, and must be presumed innocent until proven guilty by a competent court. Diedericks (2017:657) agrees, stating that employers should comply with the requirements of substantive and procedural of fairness.

3.7.2 Consistency in the application of discipline

According to Lavenant (2010:23), the organisation is expected to impose the same penalty in similar situations. Employees must have the feeling that similar misconduct deserves the same punishment. Consistent application of discipline reduces legal claims against the organisation and minimizes unemployment insurance payments. The organization is able to review and assess the consistent violation of a rule. Yeates and Mampane (2016:47) contend that an employee who alleges inconsistency must have a basis to support such an allegation. He or she must for instance, provide the names of the employees involved in the similar misconduct, and the circumstances of their situation. The employee must use an adequate comparator when alleging inconsistency. This means the situation must be the same or similar enough to warrant such a comparison and that the sanction must be the same.

According to Botha, Schultz, and Bezuidenhout (2018:4), consistency is a key principle that endorses fair labour practice. Diedericks (2017:659) states that dismissal of, or disciplinary steps should take place without fear, favour, or prejudice. Bester (2018:28) concurs, stating that employers should implement clear rules and follow correct procedures with regard to all labour matters by acting proactively and consistently.

The DPSA public service sanctioning guidelines are aimed at addressing inconsistency. These guidelines serve as the toolkit for the chairpersons of disciplinary hearings in the public service. The implementation thereof ensures that employees who commit similar misconduct get the same sanction. There is acknowledgement that each case should be treated on its own merits, however, chairpersons should guard against any form of bias in the pronouncement of sanctions (DPSA, 2015:3). Bester (2019:62) affirms that consistency in maintaining discipline in the workplace is important to ensure that the rules are equally applied to all employees irrespective of rank and position. Holley, Ross, and Wolters (2017:615) agree, claiming that management must administer the rules consistently for those employees who violate the rules under similar

circumstances. Olivier (2019:3) concludes that management will likely have its disciplinary action reduced or eliminated by the judges if there is evidence that they are inconsistent or lax in enforcing the rule for the same misconduct on previous occasions or give different penalties to employees due to legal uncertainty.

3.7.3 Uniformity in discipline management

The Disciplinary Code and Procedure constitutes a framework within which departmental policies may be developed to address appropriate circumstances, provided such policies do not deviate from the provisions of the framework. The Code applies to the employer and all employees falling within the registered scope of the Public Service Coordinating Bargaining Council (PSCBC, 2003:2). Lavenant (2010:23) refers to an assurance which must be made that the organization adopts uniform policies and work procedures. According to Sandada and Gumbo (2016:11), training, workshops, and awareness campaigns must be conducted to ensure common understanding and participation. Any inappropriate conduct must be communicated to employees immediately and such intervention must be accordingly recorded in personnel files. De Elizalde (2018:11) highlights the different perceptions when uniform rules are being proposed, that lawyers from different background are likely to interpret and apply them differently, so that the same rule may have very different effects in various environments, and that rules which work well in one environment, may not be suitable for another.

Mulaudzi and Mudzielwana (2016:7523) mention that a uniform system is a common denominator from which discussions on discipline could be based. Foncha, Ngoqo, Mafumo, and Maruma (2017:9024) confirm that discipline should be approached in a uniform and acceptable way, meaning discipline should encourage all the stakeholders to work together as a unit to agree on the rules and regulations promulgated in policies. Smit (2013:353) concurs, stating that a uniform system is aimed at establishing a disciplined and purposeful working environment, which enhances maintenance and quality improvement.

All employers should adopt disciplinary rules that establish the standard of conduct required of their employees. The form and content of disciplinary rules will obviously vary according to the size and nature of the employer's business. In general, a large business will require a more formal approach to discipline. An employer's rules must create certainty and consistency in the application of discipline (RSA, LRA 1995:310). According to Arroyo (2013:368), uniform rules are in no way intended to be an exhaustive regulation of the legal problems arising in respect of this *sui generis* transaction, but are merely to provide a basic, largely permissive legal framework to which the parties would then be free to add in accordance with the particular requirements of each transaction. According to the Simple English Wikipedia, the free encyclopedia, *sui generis*, is defined as something with special characteristics. Stromholm (2013:84) contends that the main problem for legislators is the differences in significance between the various forms of administrative activities. If attempts are made to establish uniform rules for the whole administration, provision must be made for exceptions.

3.7.4 Adherence to the rules

According to Lavenant (2010:23), there are two steps required to show that the rules have been adhered to in displaying preparedness to prove the allegations. These are firstly, a requirement for the conducting of a thorough investigation and that the employee must be given an opportunity to respond to the allegations, and secondly, it is critical to keep all the documents safe as they support the disciplinary process and outcome. Lemmer (2014:44) affirms that clear rules and guidelines ensure that friction and misunderstandings are minimised. In summary, Visser (2020:6) states that every business should adhere to the rule of law, but complying with regulations should be made as easy as possible.

Du Plessis, Jansen, and Siebrits (2015:26) states that the existence of, and adherence to governing rules for public decision-making leads to the satisfaction of self-enforcement. Redelinghuys (2017:31) confirms the need for employers to ensure that

they have basic knowledge of the rules relating to the law of evidence. These include the definition of evidence, what evidence is admissible, and what type of evidence carries the most weight in proving a case, thereby limiting liability. During the disciplinary hearing, the chairperson can make a decision based only on the evidence presented at the hearing. If the evidence is not admissible or trustworthy, it cannot be taken into account

Objective management of discipline is described by Mello (2013:233), Bester (2019:62), Mars (2017:25), Tshoose (2017:121) as acting procedurally and substantively fairly, and giving an accused employee an opportunity to state his case. Lavenant (2010:23), Mampane (2016:47) and Holley *et al.* (2017:615), emphasize that in this instance an organisation should ensure that similar acts of misconduct have the same outcome to maintain consistency, notwithstanding the fact that each case has its own merits. It is critical to maintain uniformity; however, the uniform rules and standards should serve as guidelines and not cast in stone, but allow for different interpretations, as alluded to by Lavenant (2010:23), De Elizalde (2018:11), Arroyo (2013:368), and Stromholm (2013:84). As Redelinghuys (2017:31) points out in summary, the basis for disciplinary action for contravention of a rule should be known to the employee.

3.8 Measures of discipline management

The measures of discipline management are steps that are considered in dealing with reported disciplinary cases. This section is focused on progressive measures, disciplinary measures, precautionary measures, and measures for investigation.

3.8.1 Progressive measures

According to the Disciplinary Code and Procedure (PSCBC, 2003:2), the basic principle is to correct behaviour rather than to be punitive. Discipline is the responsibility and function of managers who must ensure fair and consistent application thereof. The disciplinary hearing must be conducted at the workplace. Goodwill (2012:39) contends that progressive discipline specifies a series of consequences, increasing in severity

over time, which encourages an employee to modify any negative behaviour, including misconduct, poor performance, violation of company policy, absenteeism, and tardiness. Connolly, Connolly and Feinstein (2018:148) state that corrective or progressive discipline is an essential element of fairness, and management should apply the principle even if evidence is absent that the employer had ever approved its use, either by agreement with the union, or by unilaterally instituting corrective discipline in the past.

Bester (2019:33) states that a progressive approach to discipline in the workplace considers the purpose of discipline as a measure for employees to know and understand which standards are required of them. Odendaal (2016:76) suggests that the aim with progressive discipline is an attempt to prevent a recurrence of the misconduct. Ama, Moorad and Mukhopadyay (2020:7) concur, stating that discipline relies on constructive, corrective, and positive educative practices.

According to Gilbert (2012:140), progressive discipline means that an employee is formally informed of unsatisfactory performance, what it is that makes it unsatisfactory, and what should be done by a certain date to reach a level of performance that will be satisfactory. Such progressive discipline serves several purposes. It lets the employee know clearly what is unsatisfactory about his performance, what improvement is required, and when he must reach the specified level of improvement. Baer (2015:94) states that the purpose of discipline is to correct improper conduct without been punitive. It takes the amount of punishment to get an employee's attention and correct the behaviour.

3.8.2 Formal disciplinary measures

In terms of the Disciplinary Code and Procedures (PSCBC, 2003:8), the chairperson of the disciplinary hearing must apply his mind and consider the prevailing circumstances. Solotoff and Kramer (2020:107) state that generally an employer can prove the second prong of the defence if the employee unreasonably failed to utilize its complaint

process. However, such proof will not establish the defence if the employee made other efforts to avoid harm. According to Theophilopoulos and De Matos Ala (2019:15), this practice allows for the exhaustion of the remedies already afforded by the Public Service Act, 103 of 1994 for the appropriate body or authority to make a final decision in terms of its internal grievance procedures.

According to Meyersfeld (2020:318), formal workplace disciplinary procedures replicate courts. As is the case with judges, disciplinary procedure adjudicators will determine the veracity of a complainant's story with reference to his or her behaviour. On the contrary, Van der Hoven (2013:56) mentions that the disciplinary procedure does not have to be a formal enquiry, but should have some form, and should take place as soon as is practical. Van Zyl (2018:41) affirms that an employee may opt to remain silent and/ or to respond to the questions in a formal hearing.

Wolf (2017:319) states that formal disciplinary measures in relation to civil servants cannot be compared to adjudication. It has more to do with the right of higher civil servants or the minister to give instructions to their subordinates on how they should perform their duties. Taylor (2002:233) contends that the use of formal punitive measures to improve standards of performance is unfashionable at present, and thus tends to be covered in management literature in mainly critical terms. It is seen nowadays as unavoidable, used where low trust relationships persist or where other approaches have failed. It is thus portrayed as indicative of poor or ineffective management. Applying formal disciplinary measures lowers trust and demotivates employees, leading to less commitment and higher staff turnover. Goschen and Eccleston (2012:13) affirm that disciplinary procedures should not be viewed primarily as a means of punishment or imposing sanctions, rather they should be seen as a way of helping and encouraging improvement amongst employees whose conduct or performance is unsatisfactory.

3.8.3 Precautionary measures

According to the Disciplinary Code and Procedures (PSCBC, 2003:6), precautionary suspension and transfer is a justifiable course of action. This kind of suspension or transfer is not punitive in nature, and employees' salary and benefits are not affected. Makhuzeni, Barkhuizen, and Maubane (2015:647) state that the timeframe to conclude the investigation and convene a disciplinary hearing where the employee was transferred or suspended as a precautionary measure is 60 days. Any need to extend the precautionary transfer period or suspension is decided by the chairperson of the disciplinary hearing. Mosito and Molapo (2015:103) argue that the period of suspension is fixed for a period of three months. If no charge is preferred against the officer, the suspension lapses and the *status quo ante* to the suspension must be restored. According to Taylor (2019:278), suspension without pay or personal costs order is punitive in character. Emir (2018:354) confirms that precautionary suspension pending investigation should be with full pay in the absence of any contrary term in the contract of employment.

Grigor (2013:4) states that the notice of suspension should be given to the employee in writing before issuing the notice to attend the disciplinary hearing, or simultaneously with the issuing of the notice to attend the disciplinary hearing. Mosito and Molapo (2015:103) concur that the employee must be notified of the intention to suspend, including the extension and the reason thereof. Goldberg and Wilkinson (2019:28) argue that the employer is not required to give an employee the opportunity to make representations before a precautionary suspension.

Nel (2014:5) states that an organisation has the right to place an employee on precautionary suspension prior to conducting a disciplinary hearing. A precautionary suspension is not a sanction, but a means of removing an employee at the workplace whilst the investigation and the disciplinary process are under way. Precautionary suspensions must be exercised only in instances involving serious allegations of misconduct with the possibility of the perpetrator's presence jeopardising the investigation. According to Barbieri (2015:7), any precautionary suspension should not

be uplifted until the appeal process is finalised. Mosito and Molapo (2015:97) state that the employer in the public service has a prescribed period to finalise the appeal for the suspended employee. The consequence of failure to finalise the disciplinary case on time is the upliftment of suspension where it was applied. Green (2014:14-15) claims that the decision to suspend an employee must be taken very carefully as the employee is likely to be uncooperative and adopt an adversarial approach. Makhuzeni, Barkhuizen, and Maubane (2015:645) affirm that justified reasons for suspension include jeopardy of the investigation and suspicion that the alleged perpetrator is likely to destroy or remove relevant documents or evidence. Allegations of misconduct must be framed in general terms at the stage of precautionary suspension. The employee must be kept abreast about the progress of the investigation.

3.8.4 Measures for investigation

In terms of Section 32 of the Constitution, everyone has the right of access to any information in preparation for his or her disciplinary cases; and the employee has a right to any information that is held by the employer. The prescribed procedures must be followed in requesting this information for purposes of the investigation or disciplinary hearing (RSA, Constitution, 1996). Thomson (2013:14-15) states that it is critical that the appointed investigator for a specific case should match the circumstance under which the alleged misconduct occurred. The benefit of appointing the appropriate investigator is that it eliminates elements of bias where trust is doubtful and information is withheld. Snell (2015:27) states that the factors for consideration of a suitable investigator include the special skills required; the need for the services of an attorney for an investigation; actual or potential conflict of interest; objectivity and resistance to pressure; impartiality; and lastly, relevant experience with the ability to maximise information gathered during interviews.

Klatzow (2016:231) suggests that an investigation is aimed at assisting the disciplinary inquiry to establish the truth as far as possible, even if that truth is exculpatory of the accused. Govender (2019:31) affirms that an effective investigation requires

comprehension of the principles and practices of investigation. Maqutu (2014:577) states that failure by the accused employee to assist in an investigation may justify disciplinary action.

The Code of Good Practice states that the employer should conduct an investigation in order to determine grounds for the charge of alleged misconduct. The investigation should not be a formal enquiry (RSA, LRA, 1995:312). According to Thomson (2013:1-2), the level of quality in the investigation determines the validity and correctness of the action taken by the employer to discipline an employee. Small (2017:28) supports the idea that an investigation is a fact-finding exercise which is aimed at determining facts. A successful investigation relies on proper planning. Failure to adhere to the laid down procedural requirements exposes the process to unlawfulness. According to Nel (2014:170), fair procedure must be applied and involve an investigation, notice of the allegations of misconduct, response to allegations, reasonable time to prepare, representation, and communication of decision and outcome. The Public Service Commission Act, 1997 (PSC, 1997:7) makes provision for the investigation of personnel administration practices. It further proposes corrective measures to ensure that discipline is managed efficiently and effectively in the public service.

It is deduced from Goodwill (2012:39), Connolly, Connolly and Feinstein (2018:148), Gilbert (2012:140) and Baer (2015:94) that progressive discipline should be used as an instant measure of correcting unsatisfactory behaviour at the workplace. Punitive measures are discouraged (Taylor, 2002:233; Goschen and Eccleston, 2012:13). Statements by Nel (2014:5) and Makhuzeni, Barkhuizen and Maubane (2015:645) suggest that the suspension of an employee during an investigation may be utilised, not as a form of punishment, but as a means to avoid interference. The employer should utilise qualified, trained, and skilful investigators (Thomson, 2013:14-15; Snell, 2015:27).

3.9 Forms of disciplinary process

This section focuses on informal and formal disciplinary processes.

3.9.1 Informal disciplinary process

The Code of Good Practice (RSA, LRA, 1995:311) refers to informal discipline as concerned with corrective and graduated disciplinary measures involving warnings and counselling. Repeated similar misconduct warrants a final warning and may lead to dismissal. This practice therefore means that the employer is not obliged to take formal disciplinary measures every time employees commit an act of misconduct. Russel (2011:44) states that employees who are in breach of a relatively minor rule should be counselled to improve. The key issue is to talk to the employee as soon as the rule or standard has been breached. Acting promptly will probably save time and effort at a later stage. Move to the formal procedure only if there is no improvement after one or two informal discussions. Emir (2014:336) agrees, stating that if an allegation is so minor that it is dealt with under the informal misconduct procedure, it would be clearly wrong to dismiss an employee for gross misconduct on the same facts.

Nel (2014:3-4) states that an informal disciplinary process is used for less serious misconduct. There is no need for a formal hearing if circumstances allow for an informal process. According to Knoetze (2014:606) the sanctions imposed in an informal hearing are progressive and should be reasonable and subject to limitations. Henry (2015:89) concurs that the informal disciplinary process is seen as indicating the nature of a purer form. Informal disciplinary practices are instituted in a joint disciplinary procedure, in which management and trade unions take responsibility jointly for disciplinary action.

3.9.2 Formal disciplinary process

According to the Code of Good Practice (RSA, LRA, 1995:311), the formal approach to discipline is applicable in large institutions to ensure consistency in the application of discipline. The standard of discipline must be clear and communicated to employees. Nel (2014:3-4) states that the formal process outlines different procedural steps to be followed in instituting disciplinary action. The steps include investigation of the allegations, appointment of the departmental representative and chairperson, the

issuing of the notice of the disciplinary hearing, the conducting of the disciplinary hearing, and the pronouncement of a sanction. Mars (2017:25) agrees, confirming that to conduct the hearing, a chairperson must be appointed. He or she is responsible for conducting the hearing in an orderly manner to achieve a fair and objective outcome. Others present at a hearing can include the employer, the employer's representative, the employee, the employee's representative, witnesses, and a translator.

The Disciplinary Code and Procedure (PSCBC, 2003:3) states that if it is required to charge an employee with misconduct, management must assess the seriousness of the alleged act of misconduct. Consideration should be given to the actual or potential impact of the alleged misconduct on the work of the public service, the employee's component and colleagues, the public, the nature of the employee's work and responsibilities, and the circumstances in which the alleged misconduct took place. According to Srinivasan (2019:5), the duty of the disciplinary authority issuing the disciplinary charge sheet, is to clearly set forth the circumstances appearing against the employee. There must also be evidence; otherwise the employee charged with misconduct may be induced to confess guilt for reasons other than actual guilt, and so may be punished based on a falsehood. In a formal disciplinary process, the factum of misconduct must be established. Banfield and Kay (2012:170) claim that there will always be circumstances that require an organization to take formal disciplinary measures in order to deal with a situation that is, or has become unacceptable. In addition, Bester (2020:33) regards formal disciplinary procedures as typically used to address situations, but the adoption of a more formal and flexible approach, including the use of mediation as part of a more sophisticated and less prescriptive strategy is becoming more widespread and is actively encouraged.

Maloka (2017:540) suggests that in disciplinary proceedings parties to hearing may enter into settlement agreements to conclude cases. However, the outcome is informed by the severity of the misconduct. Lubbe (2020:198) concurs that although in all of these instances the act or conduct involved takes the form of an agreement, the consequences are different from those arising from a contractual agreement. Maloka

and Peach (2016:377) agree, stating that the pivotal role of labour dispute resolution institutions is sustaining an appropriate balance between the rights and interests of employers and employees, while at the same time preserving relatively healthy industrial relations with minimal resort to self-help, cannot be gainsaid.

Russel (2011:44) and Henry's (2015:89) studies suggest that the informal disciplinary process involves the manager and employee talking about the misbehaviour. The formal disciplinary process should be a norm in dealing with complex forms of misconduct, as implied in Banfield and Kay (2012:170) and Bester (2020:33).

3.10 Agreement for pre-dismissal arbitration

An employer may, with the consent of the employee, or in accordance with collective agreement, request a council, an accredited agency, or the CCMA to appoint an arbitrator to conduct an inquiry into allegations about the conduct or capacity of that employee (RSA, LRA 1995: 202). Maloka (2019:8) concurs that the procedure divests the employer of its disciplinary jurisdiction over the transgressing employee and vests it in the arbitrator. The import of section 188A of the LRA process is that there is no question of the employer backtracking by reverting to its internal procedures. The ruling of the arbitrator in an inquiry has the same status as an arbitration award.

Maloka and Peach (2016:369) state that there are compelling reasons for this. An employee who consents to the section 188A process, surrenders the right to have the same allegations of misconduct against him/her determined in terms of the employer's internal disciplinary process. The benefit to the employee is that when allegations of dismissals are pursued in terms of internal processes, the employer may not challenge the presiding officer's determination in favour of the employee, whereas it may review the decision of the arbitrator who conducted the pre-dismissal arbitration. Grogan (2009:171) concurs that employees must submit to this process after they have been advised of the allegations against them. Botes (2015:22) agrees, stating that the commissioner has all the powers of a commissioner conducting a post-dismissal arbitration, except that, instead of issuing an award, the commissioner must direct what

action, if any, should be taken against the employee. The commissioner's directive is final and binding and cannot be undone by another commissioner; thus, the only option of a dissatisfied party would be to take the decision on review.

Druckman (2018:19) states that the courts are enjoined to respect contracting parties' intentions to resolve any disputes by arbitration. Kometsi (2018:95) affirms that no collective agreement may remove a statutory right; for example, such as the right to a fair procedure before dismissal. Rycroft (2013:189) agrees, stating that a settlement agreement (or compromise), being a form of contract, must comply with all general contractual requirements as regards consensus, certainty, legality, and possibility of performance.

According to Maloka and Peach (2016:369), the employee is not tied to the internal disciplinary process, but has an option of an external disciplinary hearing. This is confirmed by Botes (2015:22), who suggests that consent to the external process means that the employee waives the right to appeal the disciplinary outcome.

3.11 Disciplinary procedures and processes

The disciplinary inquiry adheres to the prescribed requirements. This section focuses on notice and formulation of charges, representation at an inquiry, legal representation, prescribed time frames, conducting of a disciplinary inquiry, findings of a disciplinary hearing, mitigating and aggravating circumstances, pronouncement of the sanction, implementation of the decision, lodging of an appeal, and disciplinary records.

3.11.1 Notice and formulation of charges

Manamela (2019:101) states that the employee must be accordingly informed of charges and details of the disciplinary hearing. The process should be transparent and open. The Code of Good Practice (RSA, LRA, 1995:312) states that the employer must notify the employee about the charges, using a form and language that is simple and understandable. According to Hofmeyr (2015:249), the manner of formulating charges

was decided in the Supreme Court of Appeal case of *Coetzee v Financial Planning Institute of South Africa (association incorporated under section 21) and others* [2015] JOL 33384 (SCA). The court held that while a charge sheet in a disciplinary enquiry does not have to be formulated with the same degree of formality as a charge in a criminal trial, the same degree of particularity of the factual information underlying the allegations is required. Van der Hoven (2013:56) states that the employee must be notified in writing, setting out the allegations in a clear fashion. This notice must inform the employee of the rule which has been transgressed, or the form of misconduct and his or her rights.

Visser (2019:48) states that employers who want to ensure that their action is not misconstrued, should go ahead with the hearing so that it is clear that it was not merely a ploy to get rid of the employee. According to Small (2017:28), employers should ensure they are prepared for a disciplinary hearing by formulating the charges and making sure that they contain the correct facts. Mpedi (2013:606) agrees, stating that the misconduct charge sheet is written in a non-legalistic style.

According to the SMS Handbook (DPSA, 2003:5), the employee must be given sufficient time of least 5 days in advance before the actual disciplinary hearing date. The employee must acknowledge the notice of the hearing by signing it, or the witness may sign if the accused refuses to do so. Chapter 7 of the SMS Handbook (DPSA, 2003:5) clause 2.7(1)(c) emphasises the right of the employee to representation at the hearing by the union representative or fellow employee. The nature in which the notice and charges are crafted must maintain common understanding for the participants. Srinivasan (2019:5) states that an enquiry need not also be held if the employee is charged with minor misconduct and the punishment to be given is a warning or censure. However, the employee shall be served with a show-cause notice advising him of the misconduct and the evidence on which the charge is based. Van der Hoven (2013:56) confirms that disciplinary procedure does not have to be a formal enquiry, but should have some form, and should take place as soon as is practical.

3.11.2. Representation at an inquiry

Employees require representation during the disciplinary proceedings. The involvement of the union representative or fellow employee is an indication of a fair disciplinary process. According to the Disciplinary Code and Procedures (PSCBC, 2003:5), the employer appoints its representative at the disciplinary hearing. The employee may be represented by a colleague or a union representative (RSA, LRA, 1995:312). Saundry *et al.* (2011:196) states that the role played by the employee representatives is to clarify the complexity in the disciplinary process. Unions do not just largely accept the need for discipline, but they also play a role in promoting self-discipline. They warn their members on acts of misconduct and the consequences thereof. Unions assist the process where they become reluctant to represent members guilty of serious misconduct. Van der Hoven (2013:56) concurs, stating that the employee must be given reasonable time to prepare, be allowed to present at the hearing, and be allowed assistance by a person of his or her choice. Banfield and Kay (2012:162) state that employers must offer employees the right to be accompanied to a disciplinary hearing by a work colleague or duly accredited union representative.

According to the Disciplinary Code and Procedure (PSCBC, 2003:7), the supervisor of the employee leads evidence or represents the employer at the hearing to ensure fairness to the process. According to Bester (2019:62), the burden to prove the employee's culpability on a balance of probability rests with the employer. During the investigation prior to the hearing, the employer must collect sufficient information. The employer submits evidence to the presiding officer during the hearing to prove the employee's guilt. Fevre, Lewis, Robinson, and Jones (2012) concur that in the case of a formal disciplinary process, the case would be handed to another manager to deal with it.

Mars (2017:25) states that those present at the disciplinary hearing should be the employer and employee representatives. Dlamini (2018:14) concurs that the union representative is expected to successfully and efficiently represent employees during grievance and disciplinary hearings. Tomlinson (2015:46) agrees, stating that effective

representation is seen as a crucial component in reducing levels of workplace conflict by facilitating positive resolution within individual disputes.

3.11.3 Legal representation

According to Moffette (2014:217), the accused employee cannot unreasonably deny the right to representation by a legal practitioner. Failure to accord an employee the right to representation constitutes unfair labour practice. The Constitution (RSA, Constitution 1996:17) states that every accused person has a right to a fair trial, which includes the right to choose, and be represented by a legal practitioner and to be informed of this right promptly. Mathenjwa (2017:13) asserts that in conducting disciplinary hearings, the tribunals are obligated to comply with the provisions of the Bill of Rights and Clauses of the Constitution. Wright (2014:13) agrees, stating that in general, employees are usually only to be accompanied at disciplinary hearings by a colleague or a trade union representative. It had been successfully argued that employees may be entitled to legal representation at a disciplinary hearing if the issues at stake are of sufficient importance.

Selala (2013:417) states that the courts are recognising that in certain specific circumstances legal representation at administrative tribunals may be necessary to ensure that the principles of fundamental justice are respected. According to the Disciplinary Code and Procedures (PSCBC, 2003:7) and the SMS Handbook (DPSA, 2003:6), legal representation is not an option for the disciplinary process. Legal representation applies only where the charged employee is a legal practitioner. Turner (2013:470) agrees and confirms that in general, an employee is not given any right to legal representation during disciplinary hearings; however, everybody is entitled to a fair trial. In terms of Article 6 of the European Convention of Human Rights, it is a requirement for an employee to be allowed legal representation at a disciplinary hearing.

Broodryk (2014:395) affirms that there is no general entitlement to legal representation in arenas in which disputes are resolved, except in courts. Frahm-Arp (2015:16); however, suggests that it is fair to both parties to permit a party to have legal representation at a disciplinary hearing. Smith, Mampane, and Beckmann (2015:2375) agree, stating that all of the parties involved in a case should be able to see that justice has been done fairly.

3.11.4 Prescribed time-frames

The Disciplinary Code and Procedures (PSCBC, 2003:5) states that the employee should be notified about the disciplinary hearing five days before it is convened. The hearing must take place within 10 days of issuing the notice. According to Mars (2017:25), an employee must receive notice, in writing, to attend a disciplinary hearing at least 48 hours before the hearing is scheduled. The employee or employee's representative should also receive adequate time to prepare. Nemes (2018:1) emphasises that an earlier finish and faster decision in a disciplinary process is a requirement. The trial must be held at the latest within fifteen days of the receipt of the notice on the initiation of the proceedings. The first instance proceedings must be closed with a decision within thirty days at the latest from its initiation. Although in complex cases this deadline may be extended once by up to fifteen days.

According to Shilumani (2020:1), one of the challenges facing public sector departments include non-adherence to prescripts regulating the management of discipline, which results in delays concerning finalisation of disciplinary cases. Ziqubu (2019:44) suggests that employers should develop policies with reasonable timeframes to finalise disciplinary cases. The reason for establishing an own time period is so that the matters are dealt with expeditiously. Section 51 of the LRA empowers bargaining councils to establish their own procedures, which will be efficient and cost effective. Gathongo and Van Der Walt (2018:470) agree, stating that placing limits on referral timeframes are important stimuli for resolving disputes and ensuring that disputes are resolved in an expeditious manner.

The Disciplinary Code and Procedure (PSCBC, 2003:7-8) states that if an employee is suspended or transferred as a precautionary measure, the employer must hold a disciplinary hearing within a month or 60 days, depending on the complexity of the matter and the length of the investigation. Departments have 30 days to finalise appeals. If they fail to do so, the suspended employee must be allowed back at work pending the outcome. Group of Authors (2018:510) agrees and confirms the norm in the public service, that disciplinary cases are expected to be finalised within 3 months (90 days) of initiation of the disciplinary process. It is however of concern that many disciplinary cases are finalised long after the expiry of 3 months. Porter and Prenzler (2012:113) state that the system of 12 or 18 months taken to finalise disciplinary cases or impose sanction is problematic. Mosito and Molapo (2015:93) summarise and affirm that improving the speed and efficiency of the disciplinary process and devolving the responsibility is required, particularly for those minor matters to be taken back to the appropriate level, for management action.

3.11.5 Conducting of a disciplinary inquiry

Lemmer (2014:45) states that a procedure is an established or official way of handling a situation put in place to inform employees and employers alike of the necessary steps when a certain incident occurs. The Disciplinary Code and Procedures (PSCBC, 2003:6-8) prescribes that the chairperson must start the disciplinary proceedings by reading the notice of the hearing to the parties. The employer and employee parties are given the opportunity to lead evidence. According to Redelinghuys (2015:35) the chairperson informs the employee of the finding and the reasons. The chairperson gives parties an opportunity to present mitigating and aggravating circumstances and is required to pronounce and communicate the sanction upon conclusion of the disciplinary process.

According to Barbieri (2015:11), there are basic steps which must be followed by the chairperson in conducting a disciplinary hearing in order to ensure procedural fairness.

The steps include verification of compliance within the issuing of the notice, right to representation, and the availability of an interpreter, and allowing parties to present mitigating and aggravating circumstances. According to Goschen and Eccleston (2012:19-26), if the manager is involved in the investigation, a separate manager should conduct the disciplinary hearing and make the decision. The disciplinary hearing should be conducted promptly, as delays may result in the employee and witnesses' recollection of events becoming dim, and prevent them from providing a satisfactory explanation.

3.11.6 Findings of a disciplinary hearing

According to the Disciplinary Code and Procedures (PSCBC, 2003:7) and the SMS Handbook (DPSA, 2003:7), once the chairperson has analysed the evidence, he/she must pronounce on the guilty finding. In the event that the employee is found not guilty, that means it would be the end of the disciplinary process. Where the employee had been found guilty, the chairperson shall request parties to present aggravating and mitigating factors. Van der Hoven (2013:56) states that should there be a guilty verdict, and that the employee should be allowed to present mitigating circumstances before the sanction is pronounced. The sanction should be presented in a written form, and at the same time the employee should be reminded of his rights in terms of the LRA.

According to the Code of Good Practice (LRA, RSA, 1995:313-314), in assessing whether the employer successfully managed to prove that the employee was guilty of misconduct, it must be determined if the rule was breached. The employee's guilt is assessed and determined on the prevailing circumstances. Maqutu (2014:578) states that the decision of the chairperson is influenced by the intent of the employee when committing the act of misconduct. Finding an employee guilty of an act of negligence cannot be treated equally to a situation where intention of misconduct was proved. According to Barbieri (2015:16), proper understanding of the disciplinary procedures and processes are a remedy for a successful outcome.

Table 3.1 below discusses the preparatory guidelines and checklist for the chairperson. The chairperson records the proceedings, explains the proceedings to parties, allows them an opportunity to raise issues at the commencement of the hearing, reads the charges, and allows the employee to plead. Thereafter, the parties are given an opportunity to lead their cases, and finally, the chairperson analyses the evidence and pronounces the outcome.

Table 3.1: Disciplinary hearing finding format

<i>Hearing details and representation</i>	Write the date and related details of the hearing, the particulars of the parties present, and how the proceedings were recorded including the digital form of capturing.
<i>The procedure</i>	Outline the procedure that must be followed and explained to the parties
<i>Preliminary issues and points in limine</i>	Indicate whether there were issues raised at the beginning of the hearing for the attention of the chairperson and how they were decided.
<i>The allegations and charges</i>	Precisely record the allegations and charges as reflected in the notice of disciplinary the hearing.
<i>The plea</i>	Indicate the plea that was tendered by the accused employee in respect of each allegation and charge
<i>The employee's explanation of the plea</i>	The employee is required to explain the plea made in order to determine if they meant what was pleaded. If the guilty plea is tendered, the employee's explanation must be recorded, and whether as the chairperson you are satisfied that the explanation constitutes an admission of all the charges against the employee.
<i>The employer's case</i>	<ul style="list-style-type: none"> • The department leads evidence first and it must be recorded as such. The summary of the evidence by all parties to the disciplinary hearing

	<p>should record the relevant evidence led and the order in which it was presented.</p> <ul style="list-style-type: none"> • The documentary evidence presented should be summarised including relevant provisions of disciplinary codes. • It is not required of the chairperson to address the credibility or probability issues at this stage of the finding. The aim with this part of the finding is to record as accurately as possible the appropriate part of the evidence presented for the purposes of analysis.
<i>The employee's case</i>	<p>The factors which were recorded and summarised for purposes of the employer's evidence apply equally to the summary of the employee's evidence.</p>
<i>Assessment of evidence</i>	<p>This represents the critical part of your finding. Make comments on the evidence presented by each witness, stating the reliability and credibility of the witnesses. It is required that you determine the probability of the evidence given by the witnesses. Specify why you cannot accept the evidence of a particular witness and taking consideration or account of the other. It is important to determine firstly whether what took place is indeed misconduct. You should address whether a rule was breached? If yes,</p> <ul style="list-style-type: none"> • Its validity or reasonableness; • If the employee was aware, or in all likelihood expected to be aware of the rule;

	<ul style="list-style-type: none"> • It was consistently applied?
<i>Finding</i>	This is where you are required to state whether according to your finding the employee is guilty or not guilty based on your analysis of the evidence presented.
<i>Aggravating and mitigation</i>	Write down the summary of the aggravating and mitigating factors presented by both parties respectively.
<i>Sanction</i>	Specify the sanction that you deem appropriate after applying your mind to the aggravating and mitigating factors.

Barbieri (2015:16)

3.11.7 Mitigating and aggravating circumstances

According to Schedule 8 of the Labour Relations Act (RSA 1995:310-312), when deciding on the appropriateness of the sanction, the chairperson must consider all impacting factors. Bester (2019:41) states that the chairperson must apply his mind and ensure that the outcome is well informed. The employer is further required to apply the sanction consistently with the way in which it was applied to the same and other employees in the past, and consistently as between two or more employees who participate in the misconduct under consideration. In terms of the Disciplinary Code and Procedures (PSCBC, 2003:8), in pronouncing a sanction, the chairperson for the disciplinary hearing needs to take into account the nature of the case and the seriousness of the misconduct, the employee's previous record, and any mitigating or aggravating circumstances.

Section 16B of the Public Service Act (RSA, 1994:45) states that where the chairperson pronounces the sanction in respect of an employee found guilty of misconduct, in the case of a head of department, the relevant executive authority shall give effect to the sanction. In the case of any other employee, the relevant head of department shall give

effect to the sanction. Dube (2016:47) argues that employers are often of the view that a chairperson's sanction is incorrect because it is too lenient or it does not fit the offence. It is therefore, pertinent that employment policies and collective agreements regulating discipline must be drafted with particularity, and it must be made clear that the chairperson makes a *recommendation* and not a final decision in relation to sanction. The employer will then be within its rights to alter the sanction recommended by the chairperson. Van Zyl (2018:44) agrees and confirms that the presiding commissioner can permit the parties to adduce evidence on the appropriateness of the sanction.

According to Calitz (2019:185) in *South African Revenue Services v Commission for Conciliation, Mediation and Arbitration, Kruger*, the employer unilaterally dismissed the employee after the chairperson of the disciplinary hearing had imposed a lesser sanction. In doing so, the employer disregarded the collective agreement which did not make provision for the sanction of the disciplinary chair to be substituted. The Constitutional Court agreed and held that the dismissal was substantively fair but procedurally unfair. However, employees still have the right to common law remedies based on their employment contract.

3.11.8 Pronouncement of the sanction

Diedericks (2017:657) states that should the employee be found guilty of misconduct at the enquiry, the employer is entitled to impose a sanction. The more common sanctions include warnings, transfers, demotions, suspensions, and dismissal. The appropriate sanction depends on the circumstances of each case and the relevant factors must be weighed up against each other. It is common to hold two separate hearings, one in relation to guilt, and one in relation to sanction. However, Frahm-Arp (2019:15) suggests that it is not necessary to hold two separate hearings in every disciplinary process. Bester (2020:33) agrees, stating that where the facts and the evidence lend themselves to it, it may be appropriate to hold one hearing and to deal with both issues.

According to Van Zyl (2018:43), the impartiality of the sanction takes into account circumstances including, but not limited to, the basis of the employee's challenge, the importance of the rule that had been breached, the reason for the imposed sanction, the basis of the employee's challenge to the sanction, and the harm caused by the employee's conduct. Okpaluba and Juma (2013:20) affirm that the sanction should be constitutional and based on the rule of law, and at the heart of which lies the principle of legality. Odendaal (2015:77) concurs, stating that management may not substitute the sanction pronounced by the chairperson in the absence of a provision permitting such a variation.

The employer should apply the penalty of dismissal consistently with the way in which it has been applied to the same and other employees in the past, and consistently as between two or more employees who participate in the misconduct under consideration (RSA, LRA 1995:312). Calitz (2019:185) asserts that considering the importance of collective agreements, negotiated disciplinary codes, certainty and consistency, and to avoid employers exercising unfettered power over employees, state organs should apply for a review of an unsatisfactory sanction by the disciplinary chairperson in terms of section 158(1)(h) of the LRA. Dube (2016:47) argues that the established law which disallows an employer from interfering in the outcome of a disciplinary hearing where the chairperson has the power to make a final decision, has as its aim, the protection of workers from arbitrary interference with discipline in a fair system of labour relations. Fisher (2017:18) agrees, stating that this principle of integrity and a fair disciplinary process is worthy of preservation.

3.11.9 Implementation of the decision

According to the Labour Relations Act (RSA, LRA, 1995:211-212), the date of dismissal is the earliest day for the termination of employment contract; or the date on which the employee retires or resigns from employment. The dates for other forms of dismissals which are related to conduct include firstly, when the employee is prevented from reporting for duty. Secondly, it is an instance of refusal by the employer to reinstate the

employee. The date of dismissal is the effective date of refusal. Calitz (2019:167) observes that if the decision of the chairperson is regarded as a mere recommendation to management, the employer could substitute the sanction, but if it is clear that management is required to implement the decision, questions of invalidity, unlawfulness and unfairness of the employer's substitution of the original sanction may arise. Emir (2014:347) states that if the employee is dismissed with or without notice, the dismissal takes effect from the effective date of termination, and the fact that an appeal is pending does not alter that date. Secondly, if the employee is dismissed and placed on full pay pending an internal appeal, there is a suspension which does not terminate the contract, and hence he is still an employee up to the time of the appeal hearing.

The Disciplinary Code and Procedures (PSCBC, 2003:8) states that the disciplinary sanction must be implemented with immediate effect unless the employee lodges an appeal. The employee has 5 days to lodge an appeal, which implies that the employer should implement the sanction within this period. Where the employee lodges an appeal, the sanction is stayed until the relevant authority makes a decision. The decision of the appeal authority is implemented with immediate effect on the date that the decision is made. According to the Public Service Act (RSA, PSA, 1994:45), the sanction is implemented immediately after the appeal authority has made a decision, and immediately upon expiry of the period set for lodging an appeal in an instance where no appeal was lodged. Botes (2016:2) affirms that the implementation of legislation will not change attitudes.

3.11.10 Lodging of an appeal

According to the Disciplinary Code and Procedures (PSCBC, 2003:8), an employee in the public service may lodge an appeal against the decision of the chairperson within five days. The department cannot implement the sanction if the appeal has been lodged. The power vested in the appeal authority in terms of the Disciplinary Code and Procedures (PSCBC, 2003:9) is to uphold the appeal, and/ or reduce the sanction to any lesser sanction, or confirm the outcome of the disciplinary proceeding. According to

Mathenjwa (2017:13), the sanction of a disciplinary hearing is not enforceable pending an outcome of the internal appeal process. Where the suspension of the ruling, pending the appeal is excluded, the Court would still be empowered to grant relief. Banfield and Kay (2012:164) claim that employees must be given the right of appeal when dismissed or if action is taken short of dismissal. Van Zyl (2018:43) affirms that in fact, failure to offer the right to appeal may result in a tribunal finding a dismissal to be automatically unfair; that is, making such a decision regardless of the merits of the case.

The Disciplinary Code and Procedures (PSCBC, 2003:8) states that the appeal is submitted to the executive authority or the relevant manager who should direct it to the appeal authority. The appeal authority must not have been involved with the disciplinary process. The decision of the appeal authority is to uphold, reduce, or confirm the outcome of the disciplinary hearing. The internal process is finalised upon the communication and implementation of the appeal decision. Lemmer (2014:47) states that if an employee is unsatisfied with any disciplinary sanction (a warning or dismissal), the appeal procedure informs the employee on what grounds he or she can appeal within the relevant timeframes, and who the person responsible for dealing with the appeal is. This is an internal procedure to try to resolve matters before they end up in the CCMA. Burchill (2014:93) agrees, and confirms that provision for appeal is usually made on the basis that a management level remote from and unconnected to the issue will hear such appeals with the person or incidents concerned. What is certain is that the overturning of a decision will affect the credibility of the manager involved in that decision.

Van Zyl (2018:44) states that except where express provision is made for such a power, a chairperson on appeal does not have the necessary power to consider imposing a harsher sanction. According to Hofmeyr (2015:179), the chairperson of an internal appeal procedure may not increase the sanction imposed by the disciplinary chairperson if the disciplinary code does not make provision for a more severe sanction on appeal.

3.11.11 Disciplinary records

The Code of Good Practice (RSA, LRA, 1995:312-313) states that employers are required to keep a record of each employee, specifying the nature of any transgression, the actions taken by the employer, and the reasons for the actions. The Disciplinary Code and Procedures (PSCBC, 2003:7-8) mentions that the chairperson must communicate the final outcome of the disciplinary hearing after the conclusion of the disciplinary enquiry, and the outcome must be recorded on the employee's personal file. Lubbe and Barnard (2013:89) concur, stating that the disciplinary records are critical for trend analysis on compliance to the rules and regulations.

Redelinghuys (2015:45) argues that it is of the utmost importance to keep all disciplinary records of an employee and records of discussions to present as aggravating circumstances against the employee when necessary. Kirsten (2013:7) state that disciplinary records add rigour to the grounded theory data to the benefit of the qualitative interpretive studies. Mahomed and Hugo (2016:36) view records as integral to the judicial process, and especially so where an aggrieved party seeks to review a decision.

According to the LRA (1995:312), disciplinary records serve as future reference for employees' profiles on conduct during their term in the public service. Management decisions are influenced by reports generated from the records. These records are the employee discipline measurement barometer during the period of employment in the public service. Goschen and Eccleston (2012:40) maintain that the institution is obliged to keep records detailing the nature of any breach of disciplinary rules. These records should be retained safely and confidentially and in accordance with the Data Protect Act 2018 (c.12), which requires the release of certain data to individuals on their request. Copies of disciplinary hearing records, including copies of the formal minutes taken, should be given to the employee concerned. According to Barsook, Platten, and Vendrillo (2019:1), personnel records are those that are used for termination or other disciplinary action. Formal request is made for records in the personnel file and a determination should be made on the granting of information. The Public Service Act

(RSA, PSA 1994:13) confirms that the Minister is responsible for establishing norms and standards relating to information management in the public service.

Manamela (2019:101) and Van der Hoven (2013:56) comment that a formal disciplinary hearing is unfair without the employer issuing a formal notice indicating the transgressions and evidence that will be relied upon. Where representation is required, Banfield and Kay (2012:162) confirm that such appropriate representation for an employee is by a union representative or fellow employee. To ensure fairness and consistency when issuing the sanction, the chairperson must consider the surrounding circumstances in making the decision after a guilty finding (Calitz, 2019:185; Dube, 2016:47). Emir (2014:347) confirms that dismissal is effective from the date the chairperson makes a pronouncement on the sanction, notwithstanding the assertion that the sanction should not be implemented pending the finalisation of the appeal. Disciplinary records are critical to determine the public service cadre and to promote discipline and ethical conduct (Lubbe and Barnard, 2013:89).

3.12 Practices of discipline management

The practices of discipline management that are discussed in this section are limited to source of discipline, workplace discipline and discipline management in practice.

3.12.1 Source of discipline

According to the Disciplinary Code and Procedures (PSCBC, 2003:3), the administrator must comply with the laid down processes when dealing with disciplinary cases. The charges must clearly indicate the rules and policies which were contravened by the employee as listed in the Code; however, the list is not exhaustive. The Code of Good Practice (RSA, LRA, 1995:310-311) requires departments to develop disciplinary codes which outline the procedures and processes for disciplinary action. The contemplated disciplinary action must be on the premise of an act of misconduct which is made known to the employees. Redelinghuys (2017:31) agrees, stating that the Disciplinary Code is necessary to ensure clear rules in the workplace with appropriate sanctions. The Code

provides clarity that if these rules are broken; the employer can apply progressive discipline, or in cases of severe misconduct, proceed directly to a disciplinary hearing.

Mantzaris (2017:98) states that the anti-corruption agencies are the main source of discipline within the public services since they possess investigatory and sanctioning powers. Davids and Waghid (2018:5) argue that power is everywhere, as it infiltrates and diffuses society which makes it a major source of discipline and compliance. Modiba (2019:12537) suggests that the effective functioning of an organisation is dependent on the complementary factors of determination, will-power, and discipline.

According to Bugdol (2018:201), the general objective of discipline is not only to minimize the number of employees breaching discipline rules or the number of unethical behaviour manifestations, but first of all to improve the quality of life in the workplace and increase employee satisfaction. Mosito and Molapo (2015:93) state that the main objectives of the Disciplinary Code are to correct any unacceptable behaviour, not necessarily be punitive, deal with the matter as quickly and at the lowest level of management as possible, and ensure consistency and effectiveness in the application of discipline within the public service.

3.12.2 Workplace discipline

Mello (2013:232) states that discipline is a system of rules used to maintain control or order over people. Discipline in the public sector context is defined as the behavioural pattern of a public official, which coincides with the presentations of laws, regulations, or other statutory stipulations. This behaviour is normally referred to as conduct. Motseke (2020:26) regards it as the responsibility of the employer to manage discipline in the workplace. Discipline remains the primary responsibility of the manager who is the immediate supervisor of the employee. Small (2017:45) refers to the role of the employee relations office, which is to provide an advisory and facilitation role in finalizing disciplinary cases and resolving grievances. Failure to maintain discipline results in a chaotic working environment. Institutions in the public sector must all adopt

and be guided by the disciplinary code, which is a product of collective bargaining. According to Lavenant (2010:22), discipline in the workplace resolves disputes, builds good behaviour, and ensures consistency. Jones and Saundry (2012:252) place discipline and the application of rules at the centre of the employment relationship.

The disciplinary process at the workplace is influenced by the behaviour of employees (Webster, 2013:32). The behavioural aspect has an element of ethical conduct, which is subject to a disciplinary process. The employer, in an attempt to address this challenge, develops the set of standard rules that determines the acceptable level employee conduct in the workplace. Failure to adhere to the rules amounts to an act of misconduct (RSA, LRA, 1995:310-311). The Labour Relations Act (RSA, LRA, 1995:311-312) requires that acts of misconduct be categorized into serious and less serious offences. Behaviour that is classified as serious misconduct and results in a finding of guilty is dismissible. Plasket (2020:699) suggests that notwithstanding the behaviour and the outcome thereof, the disciplinary process must adhere to the principle of fairness in both the reason for charging the employee and the procedure that is used.

3.12.3 Discipline management in practice

Historically, according to Jones and Saundry (2012:253-254), the rules governing discipline at the workplace are a product of negotiation. Disciplinary outcomes and processes have a biased approach towards management. There is little discussion on the interaction between operational managers and human resource management to deal with disciplinary issues. The belief is that operation managers do not favour the prescribed disciplinary procedure, but instead rely on gut feelings, or instincts. Jones and Saundry (2012:254) further emphasize that managers make disciplinary decisions based on various factors, which are influenced by perceptions. Firstly, it is influenced by the personal employment relationship between managers and staff members. Managers may prioritise a specific aspect of the employee, like treating long serving employees with leniency. Secondly, line managers perceive the use of formal procedure as not

providing an opportunity for flexibility to address operational requirements for the workflow. Thirdly, discipline is influenced by the abilities of the manager and the position they hold in the organization. Mothibi, Malema, Mamogobo, and Bopape (2015:439) agree, and conclude that operational managers become less concerned with personnel matters. The formal disciplinary process is considered to be intimidating and cause a lack of confidence. The contributing factors are the lack of proper capacity building to stand for their decisions against legal challenges.

According to Lavenant (2010:22), employees should be disciplined for violating established work rules or performance standards or engaging in harmful conduct. Failure to apply disciplinary measures has an adverse effect on the organisation, and discipline assists with the achievement of mission and goals. Jones and Saundry (2012:252-253) state that recent developments entrust operational managers with the decision-making responsibility of managing discipline. Botha, Schultz, and Bezuidenhout (2018:5) agree that labour relations practitioners, in accordance with the rules, provide expertise and advisory support to avoid adverse litigation outcomes. The mutual understanding between human resource and labour relations practitioners has a positive impact of shaping disciplinary rules and policy.

Redelinghuys (2017:31) observes that organisations must adopt Disciplinary Codes which outline the rules and procedures for managing discipline. The type of transgression and the seriousness of the misconduct determine the form of discipline which the managers should consider when taking action against the accused employee. Jones and Saundry (2012:253-254) maintain that discipline is a management function which regulates employee behaviour.

3.13 Factors for discipline management

This section focuses on general discipline factors, which are the impartiality of the chairperson, disciplinary action against a trade union representative, and misconduct outside the workplace.

3.13.1 Impartiality of Chairperson

According to Nyane (2016:23), the decisions of chairpersons and the appeal authority must be objective and based on principles of natural justice. The fair outcome is determined by the versions of both parties. Aggravating and mitigating factors must be taken into account. An objective outcome takes into cognisance the decisions taken in similar cases (RSA, LRA 1995:311-312). FAO and WHO (2018:5) state that independence and impartiality are essential characteristics to display as the chairperson, and integral to the ability to facilitate consensus and attain progress in the work of the disciplinary committee. It is crucial that all stakeholders can trust the chairperson's impartiality. Small (2017:28) agrees, and confirms that the chairperson, who should be an impartial third party, is responsible for keeping the hearing in good order and making a finding of guilty or not guilty, based on the evidence presented.

According to Okpaluba and Juma (2013:1), common law attaches much value to the principles of judicial independence and impartiality. Mathenjwa (2017:13) states that the right of access to the court does not only entrench the common-law powers of the superior courts to review decisions of voluntary associations, but also requires the disciplinary tribunal itself to be independent and impartial. Wagener (2020:37) concurs, stating that the reasonable perception of both the independence and impartiality of a disciplinary tribunal is fundamental to individual and public confidence in the administration of justice.

Lavenant (2010:23) states that there is a need to use objective criteria to show the legality and validity of actions which are being undertaken. Benchmarks of acceptable behavioural standards must be developed and communicated to managers and staff members. This communication serves as justification for action for non-compliance to performance standards. The Disciplinary Code and Procedures (PSCBC, 2003:2) states that its purpose is to prevent arbitrary and discriminatory actions by managers towards employees. Venter (2016:43) remarks that the chairperson of a hearing should be an objective and impartial third party to the matter, preferably with knowledge of labour law procedures and requirements. Brickhill and Grobler (2016:267) suggest that a

chairperson should be a legal representative from an employer's organisation. If there is no impartial person on the premises, a neighbour can be asked whether he or she has sufficient knowledge of the procedures to be followed. It is important to prove to the CCMA that the chairperson was not biased.

3.13.2 Disciplinary action against a trade union representative

According to the Code of Good Practice (RSA, LRA, 1995:312), the employer must inform and consult with the union when it intends to charge an employee who is a shop steward with misconduct. This is a proactive step in that the dismissal of a shop steward might be construed as an attack against the union. The practice of consulting with the union is seen as being consultative and according the union the necessary respect. The requirement is that a procedure should be agreed upon and adopted in this regard. Unlike shop stewards, the employer uses its discretion and decision to invoke disciplinary action against all other employees, including SMS without consultation (Viviers, 2016:897). Grogan (2014:371) observes that the employer cannot take disciplinary action against shop stewards without informing their unions. As shop stewards, such employees fall under the disciplinary authority of their union. If they fail to comply with the requirements of the union's constitution, they can be suspended or expelled from membership. Baer (2015:49) states that all rules and other regulatory conditions which govern employee behaviour are also applicable to local union representatives in equal measure while in their capacity as employee.

According to Van Staden (2019:729), any statutory provision that forbids a trade union from representing employees in disciplinary proceedings would be limiting the constitutional rights of workers. Ibietan (2013:222) affirms that unions are representatives of employees at the workplace. Barnard and Botha (2018:221) agree, stating that one of the core functions of a trade union includes representing its members at disciplinary proceedings.

Reynecke and Fourie (2001:186) state that in the event of a trade union representative, office-bearer, or official contravening a disciplinary rule, the union must be informed and consulted prior to that person being disciplined. Heyel (2012:410) concurs that the plant union representative is to be contacted by someone one step removed from the immediate controversy, such as the industrial relations manager or the plant manager. Van Eck and Newaj (2020:340) agree, stating that employees have the right to be represented by trade representatives of their choice during individual grievance and disciplinary hearings

3.13.3 Misconduct outside the workplace

According to Hannan and Shaw (2010:32), there is a belief by employees that anything which they do outside of the workplace does not constitute misconduct, nor relates to their employment. The reality is that misconduct outside the workplace is justified. The useful guides are outlined in the Court of Appeals decision in *Smith v Christchurch Press Company Limited* (2001), where the determination was on the conduct in the course of employment. Ziqubu (2020:16) states that the Court of Appeal decided that misconduct outside the workplace warrants a charge against the employee on the following basis:

- It damages the employer's reputation and business prospects.
- It has a direct impact on the employee's discharge of duties and suitability for the job.
- It tarnishes the employee relationship in the workplace.
- It has safety implications, for instance where dangerous behaviour is displaced.
- It affects the confidence and employment trust relationship.

Hannan and Shaw (2010:32) indicate the existence of mutual relationship of conduct and employment. The employer is required to prove the potential adverse impact at the disciplinary hearing. The inference of the employment relationship has a recurring effect. Muller, Smith, and Lillah (2019:26) confirm that public servants are seen by civil

society as a representative of the state even after normal working hours. This assertion means that public servants carry the values and norms of their departments and the state in general wherever they go. Mahembe and Engelbrecht (2014:2) concur, stating that it is required of public servants to maintain good behaviour and discipline all the time.

Raligilia (2014:76) states that disciplinary action against an employee is justified even if it occurred outside of the workplace. The ultimate outcome of the misconduct committed after working hours and outside of the workplace might lead to dismissal. The dismissal is influenced by the nature of misconduct committed and the implications it has for the department and the state, irrespective of the place and time it was committed. Goschen and Eccleston (2012:19) state that conduct that occurs outside of the workplace can still justify a dismissal. However, the conduct must be of particular relevance to the job in question or be shown to have genuinely brought the employer into disrepute. Stelfox (2013:14) suggests that in relation to criminal charges, an employer will still be required to conduct a full and thorough investigation, which may include the suspension of an employee. It is not necessary to refrain from any such action until the outcome of the criminal proceedings is known. Govender (2013: 1) concurs, stating that it is extremely important that the employer carries out their own investigation, and the offence must be shown to relate in some way back to work.

3.13.4 Performance standards for discipline management

According to DPME (2012:4), in October 2010, Cabinet approved a proposal from the Department of Performance Monitoring and Evaluation (DPME) to work with transversal administrative departments and the Offices of the Premier to develop and pilot the implementation of a management performance assessment tool, in support of achieving Outcome 12. Tirivanhu, Olaleye, and Bester (2017:686) state that the Management Performance Assessment Tool (MPAT) was developed in collaboration with the Department of Public Service and Administration (DPSA) and the National Treasury, with additional inputs from the Office of the Auditor General and the Office of the Public

Service Commission. In June 2011, Cabinet gave a mandate for DPME to implement management performance assessments for all national and provincial departments on an annual basis. Following a series of workshops and consultations, DPME officially launched MPAT in October 2011. Provincial governments (Rasila, 2019:4), through the Offices of the Premier, further facilitated their own launches and self-assessments in their provincial departments.

DPME (2018:1) observes that since 2012, MPAT assessments were officially conducted in all 155 national and provincial departments after a pilot run in 2011. Since then the tool has consistently enjoyed 100% participation from national and provincial departments, attaining well over 90% sign-off by accounting officers. According to Migiro and Dlamini (2016:379), this unwavering support by spheres of government has been an unequivocal demonstration of the value of the tool in aiding improvements. Tully and Ishmail (2020:8) affirm that the independent implementation evaluation results show that departments found the MPAT process very useful in improving management practices. Malan (2018:401) agrees, stating that MPAT is premised on the understanding that compliance with management requirements and regulations will contribute to improved departmental performance and improved service delivery outcomes.

Malatjie (2018:125) states that the logic behind MPAT is focused on the improvement of management practices which are key to promoting government performance and service delivery. According to DPME (2012:5), self-assessment results position departments in terms of four progressive levels of management performance against 31 standards in 17 management performance areas. A department which scores at Level 1 or Level 2 for a particular management area is non-compliant with the minimum legal prescripts in that management area, and/or is performing poorly in terms of its management practices in that management area. A department which scores at Level 3 is fully compliant with the legal prescripts in that management area. A Level 4 department on the other hand, is fully compliant and operating smartly in terms of its management practices in that management area.

Table 3.2 shows that for each standard, the department rates itself at one of four levels. The red coloured level 1 represents poor performance, the orange level 2 represents improved performance, the yellow level 3 represents average performance, and the green level 4 represents excellent performance.

Table 3.2: Performance Level Description

Level	Description
Level 1	Non-compliance with legal/regulatory requirements
Level 2	Partial compliance with legal/regulatory requirements
Level 3	Full compliance with legal/regulatory requirements
Level 4	Full compliance and doing things smartly

(DPME 2012:94)

The MPAT is a tool that benchmarks good management practice. MPAT assesses the quality of management practices across a comprehensive range of management areas (Ngumbela, 202:50). MPAT is designed to assess compliance and the quality of management practices. MPAT draws on secondary data of these departments and oversight bodies to moderate the self-assessments of departments (DPME 2012:11).

Table 3.3 demonstrates MPAT performance standards for discipline management. The management of disciplinary cases indicator falls under the employee relations performance area. Level 1 represents poor performance, Level 2 represents improved performance, Level 3 represents average performance, and Level 4 represents good performance (Tirivanhu *et al.*, 2017:686).

Table 3.3: MPAT Performance standards for discipline management

3.4 Performance Area: Employee Relations		
3.4.2 Indicator name: Management of disciplinary cases		
Indicator definition: Whether the department manages disciplinary cases within the prescribed policies and ensures implementation of recommendations.		
Question: Which set of statements best reflects the department's approach to management of disciplinary cases?		
Statement	Evidence	Performance level

Department does not finalise disciplinary cases within the policy requirements; the necessary documentation is not kept; and reports are not submitted on time.	<ul style="list-style-type: none"> • None required 	Level 1
Department finalises disciplinary cases within the policy requirements but the necessary documentation is not kept and reports are not submitted on time.	<ul style="list-style-type: none"> • Available information on disciplinary case management 	Level 2
Department finalises disciplinary cases within the required process and timeframes and necessary documentation is kept and reports are submitted on time.	<ul style="list-style-type: none"> • Available information on disciplinary case management • Copies of reports submitted 	Level 3
All above in Level 3 plus: Department conducts trend analysis on nature of misconduct and implements preventive measures	<ul style="list-style-type: none"> • All above in Level 3 plus: • Proof of trend analysis • Proof of implementation of recommendations and corrective measures 	Level 4

Source DPME 2012:94

It is deduced from FAO and WHO (2018:5), and Small (2017:28), that the characteristics of a good chairperson are independence, impartiality, and objectivity. The chairperson should determine if the union was accordingly informed and consulted when presiding over a disciplinary case involving a shop steward, as mentioned in Venter (2016:43) and Grogan (2014:371). It is apparent from the statements of Shaw (2010:32), Raligilia (2014:76), Muller, Smith and Lillah (2019:26), Goschen and Eccleston (2012:19) that an employee is not immune from disciplinary action resulting from an act of misconduct committed outside of the workplace. MPAT was well received, and is an effective tool to monitor and assess performance of national and provincial government departments (Migiro and Dlamini, 2016:379).

3.14 Conclusion

The outline theories of discipline management are an indication that of its embodiment in the study of Public Administration. Effective discipline management is defined by organisational culture and the influential factors. The activities which influence discipline management in the public service are outlined in the Constitution of the Republic of South Africa, 1996; the Labour Relations Act, 1995; and the Public Service Act, 1994.

Disciplinary principles play a critical role in the management of discipline by ensuring objectivity in the process, consistency, uniformity, and adherence to the rules. The employer should ensure that the laid down procedures and processes are complied with purposes of fairness. The fairness is determined by the chairperson, who constantly advocates impartiality of the disciplinary process. Notwithstanding the positions people occupy at the workplace, all employees are equal before the law and the treatment must be the same to ensure effective discipline management.

CHAPTER 4: POLICY DESIGN AND IMPLEMENTATION AND MONITORING AND EVALUATION OF DISCIPLINE MANAGEMENT

4.1 Introduction

The previous chapter dealt with discipline management in the public service, the enabling disciplinary framework which entails the concerned processes and procedures. This chapter deals with policy design and implementation, including monitoring and evaluation. The first part of this chapter deals with policy design and implementation and the second part focuses on monitoring and evaluation (M&E). Policy design and implementation in the public service play a critical role to keep track of new developments. The periodic change of administration in government necessitates policy review to ensure alignment. The legal framework and policies of the government of the day are repealed and amended where necessary. It is necessary that related policies are aligned to the amended legislation. The disciplinary framework is not immune and must be aligned to ensure relevance.

Chapter 4 looks at policy design and implementation and outlines the purpose and nature of public policy, and how policy is designed and the effect. It explains the types of policy, research and investigations as well as the views and experience of public officials. The chapter goes on to demonstrate the importance of e-government, ethics, and networking in policy. The last part discusses evidence-based practices, the importance of clients, and coalitions, including policy review.

The function of monitoring and evaluation in the South African government is the competency of the Presidency and other constitutional oversight institutions like the Public Service Commission (PSC) and the Auditor General South Africa (AGSA). Monitoring and evaluation are tools to measure the performance of public institutions on various programmes and projects for the enhancement of service delivery. The critical role players that conduct performance assessment on various performance standards, including management of discipline in the public service are discussed.

The discussion on monitoring and evaluation functions in this chapter focuses on the importance of policy evaluation or assessment, indicators for policy evaluation, structure and organisational alignment for M&E systems, organisational culture and partnerships, M&E responsibilities and development interventions, structure and organisational alignment for M&E Systems, integration of M&E systems in government, and approaches to monitoring and evaluation design in government.

4.2 Policy design and implementation

Policy design and implementation is an important element of adherence to norms and standards. This phenomenon is applicable in all organisations, and comprehensive clarity is provided below.

4.2.1 Policy design and implementation effects

According to Schimmelpfenning (2015:33), the government announces policy statements on a three-year fiscal strategy of fiscal consolidation to stabilize governments' debt ratio. Thornhill (2012:124) agrees, stating that government plays a role in the interest of the state, and its survival requires successive policy statements to direct its activities. Policy statements are successive directives, which never remain static, as human society is forever in a state of flux. Kotzé (2015:307) states that successive policy statements and directives ensure that the changing needs of the population are met. Non-static means that the authorities must continually revise their policies. It is therefore obvious that policy-making and law-making are parts of the same process. Steenkamp (2017:199) supports this view, stating that in the absence of a static or ambulatory approach or rule, it should be for the interpreter to determine which legislation to consider.

Circumstances allows for multiple changes over time, which in turn shift the operating policy rule. These shifts may happen predictably over the business cycle, or at other times not necessarily constituting an institutional change, but simply a complex policy

rule that alters over time, shifting with a given probability in response to a changed economic environment (Ahiakpor and Cantah 2017:49). Kuye, Thornhill, Fourie, Brynard, Crous, Mafunisa, Roux, van Dijk, and van Rooyen (2002:73-74) refer to the importance of knowing that a policy can never be static, but should always be current and relate to issues in society. The policy should constantly be adapted to match the impact of environmental variables and factors that influence change. Kromydas (2017:3) supports this view, stating that policy should therefore be dynamic and consider influencing factor such as circumstances, economic and industrial developments, public needs and aspirations, research and investigations. Leshoro (2020:29) acknowledges that while policy is dynamic, the objectives are static. This means that government policy must change according to need, whilst objectives are fixed or static in terms of time.

4.2.2 Policymaking

Thornhill (2012:138) states that policymaking is a process of identifying vexatious matters and dysfunctional situations and subsequently formulating or adapting policy as a corrective measure. Policymaking involves the interaction between interested communities, institutions, and functionaries. The emphasis is that policymaking is a function which is performed in an orderly way and entails information that is organised systematically to achieve quantified and qualified decisions.

Policy coherence and coordination require intra governmental coordination, consultation, and processes. Policies themselves are interdependent and require a more holistic approach to policy design and analysis (Bueger and Biegus 2017:30). Cloete and Walwyn (2018:1-4) argue that a mixed policy approach is particularly important in addressing the objectives of socio-technical transformation and sustainability transitions. According to Coles, Gray, and Momsen (2015:536), civil society benefits from the adopted policy determinations and United Nations (UN) agreements. Gyekye-Jandoh and Alidu (2016:3) agree that in many countries like Ghana, Nigeria, and Uganda, civil society is resented as an instrument of opposition to

government. Civil society often looks to the UN to lead on the implementation of agreements and conventions. Efforts must be made to involve civil society in UN policy-making through consultation processes.

4.2.2.1 Policy implementation and delivery functions

Thornhill (2012:158-159) states that policy implementation may be referred to as the delivery process that results in the provision of services or products. The officials responsible to oversee implementation must embrace the techniques that are applied to improve the quality of the functions involved. Agagu and Arowolo (2020:23) suggest that officials have employed different work methods and techniques to improve policy implementation, for example strategic planning, programme evaluation review techniques, work-study, and organisational development. The implementation of the policy must be marketed in the form of implementation plans, programmes, or projects. Marketing should be a continuous process and adapted to answer questions about the implementation. Phago (2014:49) perceives that the individuals in civil society are preoccupied with the living of their daily life; hence, the need for government to act as an agent. Therefore, one of the fundamental roles of government remains the provision of quality public services. Maritz (2019:109) agrees, stating that the establishment of public institutions where specialist appointments are done serves this justification. The performance of these specialist appointments are usually overseen by political executives regarding the achievements of political mandates and goals that should translate into the provision of quality public services.

4.2.2.2 Policy Gap

Pelser and Ndala (2019:15) mention that external sources of advice increase strategic knowledge, leading to competitive benefits. External assistance can overcome information and policy knowledge gaps, including resource and skill deficiencies. According to Adams-Jack (2016:12), the implementation gap is influenced and a product of policy change. Interpreting the implementation gap as a sign of failure is not appropriate, in that policymakers change their minds from time to time. Shilaho

(2016:110) suggests that alternative approaches are influenced by the political-legal context within which policy decisions are taken. Maharaj and Brown (2015:2) support stating that a strong environment and culture of knowledge sharing is argued to be conducive to effective strategizing.

In South Africa, various aspects of policy are in place, however, they are ineffective due to a lack of follow-through and weak implementation capacity (Mzangwa, 2016:68). According to Ozden and Onapajo (2019:168), change in administration affect policy in that continuity does not happen. Changes in senior public servants and Ministers affect policy thinking and implementation, and differences in ideological orientation affect many promising initiatives. Masters (2017:9) suggests that the disbandment of the Policy Coordination and Advisory Services in the Presidency created a coordination gap that exacerbated the problem of follow-through and continuity. Policy coordination is being strengthened with the re-establishment of the Policy Unit in the Presidency. It however, needs sufficient policy thinking capacity. Gumede (2019:508-509) agrees, stating that the reconfigured departments and Ministries in the Ramaphosa administration would need to be properly coordinated, and a policy nerve centre would remain critical if wellbeing is to be sufficiently advanced in South Africa.

It is deduced from the above, that policy design is the fundamental organizational statement of intent that defines the reasons of existence and the future prospects of a particular programme or project. Policy design is linked to implementation in that the best designed policy results in successful policy implementation. As highlighted by Thornhill (2012:138), organizations develop policies to ensure that their goals and objectives are achieved. It may be said that as time passes, changes become eminent and have a direct impact on the existing policies. The constant updating of policies is necessary to ensure relevance. Phago (2014:49) shows that the state aims to deliver services effectively and efficiently to society despite various strategic and service plans which are periodically developed. A conclusion may be drawn from Pelser and Ndala (2019:15) that consultation is an enabler to information gathering, which assists to close the policy gaps.

4.3 Types of policies

This section discusses three different types of policies which have implications for implementation on role players. These policies are the political implementation policy, the administrative executive implementation policy, and the operational policy

4.3.1 Political implementation policy

Amusan (2014:2) refers to policy implementation as a purposive course of action on the part of an actor, or a set of actors, in dealing with a problem or a matter of concern. At the theoretical level, and based on the Constitution of the Republic of South Africa of 1996 section 83(a) and 85(2c) provision, the head of government, who is the President of the State is accorded the power to formulate and implement general policy. According to Munzhedzi (2020:90), policy implementation is concerned with the performance of public administration functions, which include the generic administrative, the auxiliary, and the instrumental activities, as well as functional activities. Wynberg and De Beer (2018:98) confirm policy development and implementation processes as complex and multifaceted, and involving the participation of an array of stakeholders.

Thornhill (2012:129) states that political executive institutions and office bearers must ensure implementation of policies that were given the go ahead by legislation. Legislation is the enabler and officials are responsible for developing implementation plans to ensure that execution meets the prescribed requirements. Myburgh (2014:35), in support, indicates that in the process of implementation, officials make decisions which involve the performance of various activities including financing, staffing, organising, determining work procedures, and mechanisms of monitoring and evaluation. Amusan (2014:4) also agrees, stating that public administration and politics can never be separated, which is the reason for administrators' requirement to interpret political policy and queries that are political in nature. The political policy is always expressed through legal power that defines the roles of functionaries and institutions.

4.3.2 Administrative executive implementation policy

According to Thornhill (2012:131), the administrative executive implementation policy is a product of government policy which emanated from a political policy. The administrative executive policy deals with practical steps, which gives effect to the implementation of the political executive policy. Politicians often confuse their roles in the executive policy and the administrative executive implementation policy. Sewpersadh and Mubangizi (2017:208) state that executive power most often entails high-level policy or broad direction policy giving powers. Sebola (2014:998) agrees, stating that administrative policies are acceptable as long as they do not contradict laws made by the legislative authorities.

Mukonza (2014:503) argues that there must be a distinction between public administration and politics. Aladegbola and Jaiyeola (2016:109) state that politics which are concerned with policies, or are an expression of the State, should be separated from public administration, which has to do with the execution of these policies. Igbokwe-Ibeto (2019:2) confirms that government's bureaucracy is the locus of public administration. In agreement, Pečarič (2016:107) states that bureaucracy derives its legal standing from administrative law, which is not just about fair and transparent procedures, honest, hardworking officials and the protection of individual rights, although these are important. It however also concerns the legitimacy of government policy-making.

4.3.3 Operational policy

Makovhololo, Batyashe, Sekgweleo, and Iyamu, (2012:465) state that while responsibilities are defined in the political implementation policy and administrative executive implementation policy, officials are required to take decisions at the lowest level of implementation. Pretorius (2019:85) supports this view, mentioning that the decisions taken at operational level do not affect the line function, but only a small number of officials or members of the public. Slabbert and Venter (2017:18) agree,

stating that the operational level is a policymaking phase that usually relates to routine work done by supervisors at the lower level in the organogram or hierarchy.

According to Sondej (2016:208), operation policies deal with short-term targets and are designed to carry out the strategic policy of the organization. Kennon and Schutte (2015:69) state that strategic policy is the setting of organizational goals or desired outcomes. Operational policy is the process of producing formal materials to support and accomplish the strategic policy. As part of operational policy, the budget tends to have precise rules. The budget process assures that the policy goals of the state are supported by the means to pay for them. Dasgupta (2014:122-125) argues that at operational policy level various challenges are posed. Moore, Redman, Turner, and Haines (2016:511), confirm that issues at operational level are often linked to processes at the policy, or even constitutional levels of decision-making. Van Nunen, Leuridan, Van Hal, Van Damme, and Decorte (2014:58) agree, stating that the operational policy challenges may be solved through informal, face-to-face discussions framed within the basic rules in use.

A deduction derived from the above discussion is that political implementation policy, administrative executive implementation policy, and operational policy are intertwined in ensuring sound administration and good governance. The statements of Munzhedzi (2020:90) and Thornhill (2012:129) imply that successful policy implementation is a product of proper planning, resource allocation, and just administration. Makovhololo, Batyashe, Sekgweleo and Iyamu, (2012:465) suggest that competent human resource capacity is the remedy for the proper application and interpretation of inter policy relations decision implementation.

4.4 Policy design and implementation

According to Sempe (2017:49), research conducted by institution plays a critical role in influencing policy design and implementation. It is evident that executive institutions tend to be bureaucratic in the public sector. The institutions place their own wishes, ideas, and aspirations above those of legislatures. The issue is the extent to which the

policy intention has been translated into the intended outcomes and subsequent unintended consequences. Chinyamurindi and Shava (2015:3) state that as a result, research and empirical investigation are required for delegated officials to design legislative norms. The purpose is to alter the activities to meet the new circumstances. Luvhengo (2019:9) implies that officials with expertise, through research, notice shortcomings in government policy or in the implementation of the policy and advise their superiors to fill the gaps. Civil society is kept abreast and vigilant in relation to accountability on the success or failure achieved by a particular policy. Ncube (2015:17) supports this view, stating that a good deal of the extant literature on policy design deals primarily with policy strategies, linking specific policy instruments to specific targets. This level of design is an important part of policy work, involving a range of policy formulation tools aimed at attempting to develop a program that can ameliorate, if perhaps not solve, a particular issue.

According to Sondej (2016:64), policy research can come from various sources, but it is important that the information gathered is sound and reliable. The normal manner for ensuring this is to use the appropriate sources for policy design and implementation. According to Mukherjee and Howlett (2018:1), policy design is undertaken with the expectation that such a study can generate better or improved ways to construct policy and ensure that maximising or even optimal results are achieved from the expenditure of scarce governing resources. McIntyre (2018:14) suggests that policy design is arbitrary and many formulation situations, for example, involve information and knowledge limits or involve multiple actors. Policy design relationships may be more adversarial or competitive than typically associated with a design process and outcome. Cairney (2016:16) agree, confirming that policy design and implementation require evidence and knowledge of best practices, and the quality of the logical and empirical relations between policy components as solutions to problems should be correct.

According to Sempe (2017:49) and Chinyamurindi and Shava (2015:3), policy design and implementation is entrusted to the bureaucrats by politicians who constitute the legislature and are influenced by power dynamics. Luvhengo (2019:9) and Cairney

(2016:16) confirm policy design and implementation as a technical function requiring expertise to produce acceptable and reliable policy outcomes.

4.5 Policy implementation through electronic government

Mukonza (2019:499) argues that information communication technologies (ICTs) have brought transformation to various aspects of government operations and governance. The character of government has changed, so has its ability to relate to various stakeholders in society. Rose, Persson, Heeager, and Irani (2015:533) assert that e-government is the new paradigm in public administration, and is seen as the pragmatic use of innovative information, communication, and technologies, such as the internet, to deliver efficient and cost effective services, information, and knowledge. Kanyemba and Hofisi (2019:210) agree, stating that e-government tends to focus on government operations, with particular concern on issues of efficiency and effectiveness.

Muñoz (2018:155) explains that in Brazil, e-government officially evolved in 2000. Thereafter new technologies followed, such as, mobile data, social media, and cloud computing, which enable new forms of public engagement with government. The benefit to citizens is that now they expect to obtain services and participate in governmental decision-making in the same manner as they do in the private sector. The concept of e-government as the provision of electronic services by government to citizens has been expanded to digital government, where the citizen goes from being passive to being active. Moyo (2019:185) claims that many governments profile e-government as an important enabling political strategy to bring a government closer to its organs, to businesses, to citizens, and to non-governmental organisations through electronic means. The transformation of e-government boosts prompt delivery of service to citizens.

From the above discussion, the following deductions are made. Information technology is the necessary sophisticated tool needed for policy design and implementation. The view is much apparent in the work of Rose *et al.* (2015:533), who elaborate that e-government is the new paradigm for innovative information, communication and

technologies. Another notable school of thought is that information communication technology is able to preserve the electronic data necessary for policy design and development (Muñoz, 2018:155). This school of thought further suggests that the policy implementation process occurs by means of media communication.

4.6 Ethics and policy analysis

Miller and Fischer (2017:21) refer to ethics as dealing with values, with good and bad, with right and wrong. People cannot avoid involvement in ethics, for what we do, and what we do not do, is always a possible subject of ethical evaluation. According to Buys and Van Schalkwyk (2015:84), ethics refers to a code of conduct that guides an individual in dealing with others. Welch (2014:7) supports the view that ethics is about what should be done. Marota (2017:10) concurs, stating that ethics refers to instilling the right values and principles in members to uphold integrity at all times.

Trevino and Nelson (2017:52) state that applied ethics is concerned with the ways those norms or standards can be applied to actual situations, to clarify the ethical issues involved, and to suggest standards and modes of reasoning that might be appropriate to resolving them. According to Okok and Ssentongo (2020:68), ethical reflection upon whether a public policy is right or wrong centres on an analysis of the results produced by that policy. Naidoo (2016:167) agrees, stating that applied ethics exists in relation to professional conduct.

Cohen (2015:1-2) states that a central function of ethical principles is to indicate what we may do alone or together through institutions. These principles can also tell us what we ought or ought not to do. Ethical principles guide our behaviour, constraining or marshalling or conducting it by offering special reasons that encourage or discourage actions. Duska, Duska, and Kury (2018:186) affirm that ethics is that part of philosophy which considers, among other things, what makes for a good human life, what people owe to one another, and how human beings ought to behave. Malesela (2018:3) supports this view, stating that ethics helps us to understand what our values are, distinguishes between good and bad practice, and how to go about realizing them.

Ethics might then be an important part of understanding and shaping policy. Schoeman (2014:27) agrees, making reference to ethics as part of due diligence to ensure accuracy and reliability.

Wolfgang (2015:154) suggests that without a critical acquisition of our own guiding values, we shall not find sufficient orientation in our present world. Further, that without ethical reflection, there will be no hope in the crises of our days, and therefore an ethics of solidarity in hope is needed. Naidoo (2016:181) states that it is not enough to use intuition alone when taking and making decisions for one's actions in ethics. The traditional standards, values, and goals of the profession must be taken into account. Chemhuru (2017:19) concurs, stating that ethics takes on board the inherent value and interests of human beings.

From the definitions of ethics that have been explored, it has been observed that ethics is influenced by the values and morals of an organisation. This view is consistent with the statement of Marota (2017:10), which implies that ethics is about instilling the right values and principles with integrity. An organisation cannot achieve its goals and objectives without ethical principles, including norms and standards (Trevino and Nelson, 2017:52).

4.7 Policy analysis

According to Theletsane (2016:185), policy analysis may be defined as the use of systematic methods to provide guidance on how to make decisions across a set of policy alternatives, or for assessing the ongoing impacts of existing policy choices. Ralarala (2019:268) suggests that the term 'policy analysis' is used to assess policy alternatives or ongoing policy impact. It is a key tool to inform public policy-making decisions in general. Eller, Gerber and Robinson (2017:17) state that the general assessment of policy is referred to as policy research, and programme evaluation represents management as an ongoing management tool. Dunn (2012:8) agrees, stating that an important aspect of normative futures is the specification of goals and objectives. The current values are likely to change in the future, thus making it difficult to

forecast normative futures based on existing preferences. Attention should be on future changes in the ends as well as the means of policy analysis.

It is a norm that a rational policy process is preceded by a problem. The policy process does not only concern the users, but has a wider implication. Callaghan (2017:433) mentions that the method of policy analysis is similar to the methods and procedure used in scientific research. It is evident therefore, that the policy analyst requires the basic skill of conducting a scientific enquiry. The underlying factor is the ability to analyse policy through the use of judgements and the ability to anticipate future events. Self (2015:185) in support, confirms that policy analysts should be capable of identifying policy alternatives and incorporating cost benefit and cost effectiveness analyses to arrive at the best policy options. Theletsane (2016:185) agrees, stating that policy is regarded as the proposed course of action for government to provide within the given environmental obstacles and opportunities as a solution to achieve the set objectives.

4.7.1 Political feasibility

Terry and Douglas (2015:264) argue that predicting political feasibility is difficult, if not impossible, in part because different models of political processes stress particular factors of importance. Assessments of political feasibility focus on the formal and informal institutions that shape decision-making. Caputo (2014:152) states that where strategic feasibility requires a direct engagement to further a policy, institutional feasibility directs our attention to pre-existing sets of rules and regulations that may affect the performance of a policy over time. Tandoh-Offin (2019:55) agrees, stating that policy decisions are taken based on feasible goals and alternatives to address developmental challenges.

Ncube (2013:104) states that a political order must demand a desirable or morally appealing social order that counters an extant undesirable social order. This implies that what is desirable is not always necessarily achievable or feasible. Ntuli (2016:7258) implies that political feasibility is about probing the limits of practicable political

possibility of a policy issue within a particular given context. Horne (2017:4) agrees that political feasibility entails the political and social variables which encompass probability of success and hope.

4.7.2 Forecasting

Van Rensberg (2019:32) states that innovation changes the way the world works from a disruptive manner, through the introduction of a new creative product, or a way of delivering the product that is rapidly making the old product redundant. This creates a change in the future that does not exist in the current setting. Bussion (2015:60) alludes to changes which can be incremental by providing more value to the customer over time with the same product or service through innovation or improvement to respond to market forces. Guimaraes, Marques, and Tortato (2020:117) agree, stating that change is important to support delimiting the resources needed by an organisation.

According to Bhoola (2016:31) a fundamental issue in judging forecast accuracy is the choice of the set of actual data to compare to the predictions. Forecasters should not be judged on their ability to predict future revised data. De Klerk (2015:23) states that a growing trend in literature is the choice to compare the forecast to the very first value for each variable. It means that the first release of the actual data is the benchmark against which to compare the forecast. Vlok (2014:100) mentions that forecasting goes hand in hand with condition monitoring and data analysis. In addition, Holloway, Ittmann, Dudeni-Tlhone and Schmitz (2018:90) make reference to expert opinion, which also plays a role in forecasting events in that the best forecasting methods combine quantitative analysis with the opinion of experts in a certain field to make the predictions. Rashid (2018:192) agrees, stating that forecasting alleviates possible risk of policy failures in an organisation.

4.7.3 Cost effectiveness analysis

Zondo (2018:2) states that policy analysis is dependent on the financial implications and the cost effectiveness to decide on best possible alternatives and options. Policy must

consider best possible policy options, considering the cost saving initiatives of government. The policy must have the desired outcomes to be considered. However, policy analysts must guard against misusing the cost benefit analysis and hide behind cost factor to avoid addressing the policy gaps. According to Garisch (2016:298), this method is not a substitute for decision-making, and has limitations. It does not permit the policymaker to execute his or her responsibilities by making randomised decisions. Cost effectiveness is the evaluation of alternatives in relation to outcomes and outputs of programmes.

Harper and Hamblin (2014:174) argue that resource allocation occurs by making the best guess as to whether or not a policy programme is cost effective. Regardless of the choice made, there will typically be cases in which this judgement would turn out to be wrong if things are known for certain. Redelinghuys, Rothmann, and Botha (2019:2) state that by looking at the range of outcomes possible in the case where best judgement is wrong, this is recipe for net loss to society. The expected value of this loss across all cases is known as the 'expected value of perfect information'. Neumann, Sanders, Russell, Ganiats, and Siegel (2017:2) add that cost effective analysis involves estimating the net, or incremental, costs and effects of an intervention and its cost outcomes, compared to the alternatives. Cost effective has evolved to fill that need through trades-off involved in choosing among interventions.

It may be deduced that policy design and implementation, monitoring, and evaluation requires knowledge of research to be able to align the goals of an organisation to the environmental changes. Ralarala (2019:268) confirms that the basic knowledge of scientific research enables the policy to conform to the acceptable methods and standards for policy design and implementation. The statements by Harper and Hamblin (2014:174), Neumann, Sanders, Russell, Ganiats, and Siegel (2017:2) imply that monitoring and evaluation consider the available limited financial resources with the aim of doing more with less. This therefore means that policy change is influenced by socio-economic factors.

4.8 Policy network

According to Potůček (2017:61), policy networks are the linkage between the stakeholders and interested parties and serve as the pillar of communication, information dissemination, shared expertise, trust, and other policy resources. Colgan and Booyen (2018:936) suggest that the scope of the network is not determined by formal authority, but by the results of mutual recognition and dependency embedded in the functioning of that particular structure. In support, Bampton, Campbell, and Heyns (2016:16) indicate that policy networks cluster the autonomous but relatively interdependent parties and interested groups that are jointly involved in the process of policy-making. Senekal, Stemmet, and Stemmet (2015:49) agree, stating that policy networks differ by levels of formalization of rules governing the networks, accessibility from outside, and the level of stability.

Pečarič (2016:113) argues that at a higher level, in the form of transnational linkages, globalization, polycentricism, global connectivity, interdependence, and scarcity of resources, a new basis for a broader view of the world can be provided. Freedom is inextricably linked to its limitation due to its maintenance and expansion. Marais and Viljoen (2016:27) mention that administrative law is becoming open to other organisational forms and management practices, notwithstanding that it is currently perceived as a combination of public authorities and correct application of public rules. According to Sondej (2016:160), an expertly applied policy-making process, resulting in a well-drafted directive counts for nothing unless it can be effectively communicated to all members of the organization. Van Den Berg and Struwig (2016:550) concur, stating that as computers prevailed at the workplace, the media of distribution became an email, and the documents were held in an accessible folder or computer network drive. Today the gold standard for communicating policy is the policy management system, a special computer program that is designed specifically for this task.

Chinje and Chinomona (2015:799) state that networks should be perceived in the context of relationships that are activated in underlying processes and structural interconnection. Networks play an important role in learning and sharing information,

allowing for the cross pollination of ideas, and assisting in the dissemination of information. Ngcoza and Southwood (2019:5) support this view, stating that it is critical in such a relationship that everyone understands each other's objectives, beliefs, strengths, weaknesses, and concerns so that relationships are not only strategic and mutually beneficial, but also effective and durable. Leshota (2015:4) confirm that the right balance between symbiotic interdependencies and congruent beliefs on policy specific issues determine network success. Trust between actors is critical for the success of the network in that they evolve over time through multiple interactions and cannot be forced.

From the discussion of Potůček (2017:61) and Sondej (2016:160), it is deduced that a policy without a network solution results in poor communication. The links makes it feasible for stakeholders to share information for a common understanding of policies, as alluded to in Chinje and Chinomona (2015:799). Policy networking is a user-friendly manner of promptly transmitting information through an interdependent means of communication.

4.9 Role of government in policy-making

Johanson (2019:23-24) considers government as an environmental feature which may influence an organisation's ability to gain competitive advantage. Government regulatory policies, political stability, and workers' average level of education are relevant to business activities because they affect an organisation's freedom to operate, sustain continuity of activities, and supply a skilled workforce. According to Ho (2012:2), the role of government is to serve the people by supplying them with essential goods and services. They serve the people by arbitrating or resolving conflicts fairly, by reducing risk, and by helping people cope with risks better. These are both risks that are macro in nature, affecting the entire economy or society, and risks that are more micro in nature. Maharaj and Naicker (2016:59) agree, stating that government represents an important aspect of social capital, namely, the capability to mobilize resources and labour to achieve socially valued goals. Generally, government provides an environment

so that people can pursue happiness, and feel protected and free to do as they please as long as they do not harm others.

Gumede (2017:4) states that for governments, the election manifestos of political parties influence policy-making. An important aspect of policy-making is coordination. Makgala (2019:135) concurs, mentioning that ideas and policy alternatives are central in electioneering and these tend to be limited to party manifestos, which are produced for national elections. Manifestos certainly play a critical role in elections in liberal democracies worldwide. Olivier (2016:58) agrees, stating that a manifesto is contextual; it speaks to the current discourse, rather than providing a conclusive, comprehensive perspective.

It is deduced from the above discussion that the wellbeing of civil society is emancipated by government through progressive policies. This view is supported by the notion that the effective implementation of government policies ensures maximum achievement of government goals and objectives. Maharaj and Naicker (2016:59) concur, suggesting that government, as the facilitator of change to existing circumstances, is liable for resource allocation to sustain and promote democratic livelihood, which embraces human dignity.

4.10 Evidence based practices

Letsholo and Pretorius (2016:783) regard empirical assessments as tools in decision-making and as mechanistic processes. There are limitations to rigorous and sound empirical assessments. Batchelor and Petersen (2019:79) confirm this, stating that an appropriately systematic judgement about efficiency must be weighed against other democratic imperatives, such as justice and equal opportunity. Hall and Roussel (2017:10) agree, mentioning that from the evidence-based practice perspective, rigorous group designs are more valued than less rigorous designs. This is because rigorous designs minimize threats to internal validity.

According to Pabari, Amisi, David-Gnahoui, Bedu-Addo, and Goldman (2020:1), the use of evidence adds value to civil society's efforts to influence and support policy and practice, and civil society can play a valuable role in supporting evidence used by governments. Omole and Ogunbanjo (2015:244) state that the level of evidence in a case report is low, and there is not clear evidence in support of this practice. Mandondo (2020:46) confirms this, stating that there is a growing body of evidence proving that evidence use and good governance can complement each other.

According to Pečarič (2016:113), preparedness for new forms of legality, transparency, accountability, and justifiability of decisions, regardless of the location of decision-making and implementation, is the main issue of our time, for which we must find new answers. Hoexter (2015:130) states that the transformation of society is the basic evidence of the meta-presence of administrative law. Typical evidence may be to establish the relations between the state and society and between the state and public institutions and are de facto present in its daily implementation. Lipscomb (2016:16), in confirmation, adds that this could include the development of formalised structures and processes, such as a memorandum of understanding or collaborative research institute, to support more successive and sustained contributions to evidence based practice, and to influence the way in which services are organized and delivered. Du Preez (2018:52) agrees, stating that to optimize collaboration, a number of factors must be considered, including team building, collaborative working, leadership, and translating evidence in practice.

It can be observed from the above discussion that evidence influence decision-making and the objective implementation of policies. This view is consistent with the notion that this system of government ensures that the implementation of policies is fair (Eller *et al.*, 2017:26). Furthermore, the application of good management practices in the assessment of policy design and implementation instils quality in evidence-based practices (Pečarič, 2016:113).

4.11 Clients and coalitions

Hickey, Sen and Bukenya (2015:53) allude to the importance of developmental leadership, understood as the political processes that mobilize people, organizations, and resources through collective action, as important catalysts for economic growth. Makinde (2016:125) relates this developmental leadership to growth coalitions of business and political elites that are underpinned by synergistic relations and which mobilize institutions and resources for economic growth. Nxele (2018:9) in support suggests that these coalitions deal with the complex policy issues involved in policy-making that prevent the provision of quality services. Weil, Reisch, and Ohmer (2013:388) confirm that political action and social change coalitions always focus on external target. They attempt to alter rules, policies, and institutionalised practices of society, the market, or government. Cairney (2020:173) agrees, stating that such coalitions help organisations champion a particular policy idea, providing the structure to consolidate expertise, coordinate action, and gain optimal access to multiple points of decision-making.

Munzhedzi (2020:98) states that when choosing the kind of clients that it wants to form a coalition with, Government should also look at the capacity of such clients. Van Niekerk and Manganyi (2019:14) concur, stating that policymakers need to take the various factors that influence policy implementation, including coalitions, seriously. In addition, Mukonza and Mukonza (2015:90) state that clients and coalitions constitute variables which act together, often simultaneously and synergistically, but always in a complex fashion, to create both opportunities and challenges in policy implementation.

According to Sempe (2017:50-53), policy implementation and analysis is concerned with the extent to which implementation occurs on a bottom-up as opposed to a top-down approach. The characteristics which distinguish these two approaches include the content of the policy, nature of institutional context, administrative capacity, commitment of implementers to the policy, and participation of clients and coalitions forming the target group. Mbokazi (2018:25) suggests that these interlinked variables are critical to the success of policy implementation. However, rather than choosing between a top-down and bottom-up approach, a unified or combined theory to both perspectives is

increasingly seen as desirable. Policy implementation does not only result in impact and outcomes, but it also tends to create unintended consequences. The process of governance, according to Swarnakar, Zavestoski, and Pattnaik (2017), can be summarized as a top-down approach. Due to uneven economic growth and social opportunity, the top-down model fails to reach the bottom of the pyramid. Moreover, many affected people are left out because the economic resources of top-down decision-makers are limited, and they have to prioritize certain issues, communities, and geographic locations.

From the above discussions, the following deductions are made. Coalitions are a mechanism to promote policy implementation and eliminate blockages in organisations. This view is confirmed by Cairney (2020:173) who suggests that coalitions in an organisation are influenced by hierarchical and structural arrangements between peer groups. Further, coalitions are also hybrid and consist of all levels of employee representation (Hickey, Sen and Bukenya, 2015:53). Sempe (2017:50-53) concurs, stating that clients' inputs and participation are critical for policy design and implementation.

4.12 Policy cycle and implementation framing

Taing (2019:537) states that the policy cycle framework characterises policy-making in five stages of agenda setting, policy formulation, decision-making, implementation, and evaluation. Policy failure is mostly attributed to implementers who are supposedly either non-compliant and practice maladministration, or misinterpret national legislation and policy. According to Fischer and Miller (2017:91), the framework adopts a top-down approach by assuming that good policies fail as a result of bad implementation and oversimplified policymaking. Taing (2019:537) supports this view, stating that policymaking is sequential, which overlooks potential disruption and feedback that can change policy processes. Gali (2015:105) confirms that policy implementation studies evolve to address the cycle framework's shortcomings. Policy implementation framing focuses on "if" and "how" an objective is realised. The implementation and evaluation stages are almost similar except that they are separated for reasons of functional

effectiveness (Ndala and Pelser. 2019 6). Amusan (2014:4) agrees, and views public policy as having to do with government allocation of scarce resources and socio-political and economic values on certain objectives to be achieved at the domestic and at the global levels.

According to Ibbih and Idiagi (2015:112), a framework is a tool to ensure that fiscal policy is transparent and sustainable in the long term. It is a prerequisite for achieving the economic objectives. Otto, Van Schalkwyk and Schutte (2020:114) state that to determine the effectiveness and efficiency of the implementation, and to learn from it, it is necessary that it is evaluated. Makhuvele, Litshani, Mashau, and Manwadu (2019:192) suggest that for policy implementation to be effective, policies need to be known, understood, and accepted by the people affected

According to Lenkonkile *et al.* (2019:208), successful implementation of public policy requires that implementers must be trained in order to attain the set goals and objectives. Training increases the implementers' self-efficacy to believe that they are more capable of performing the work at hand. As a result, implementers are tempted to perform more effectively if they are under the impression that they have the ability to overcome possible barriers to transforming actions into practice. Managers should acquire the leadership skills which enable them to perform their role effectively during policy implementation process (Munzhedzi, 2020:90). Quah (2016:51) contends that the personnel of implementing agencies are highly competent because of an emphasis on meritocracy and the importance of training. Staff members are required to undergo professional training and skills upgrading on policy implementation.

It is deduced from Taing (2019:537) and Gali (2015:105) that knowledge is the major contributor to policy cycle. Lenkonkile *et al.* (2019:208), Munzhedzi (2020:90), and Quah (2016:51), in support, suggest that training is a vehicle for good leadership and capacity building. It takes good leadership to design sound policies and ensure quality implementation.

4.13 Policy review

According to Makhuvele, Litshani, Mashau and Manwadu (2019:192), newly developed or revised policies should be circulated in an open, consistent, and timely way to ensure that people, both internal and external are made aware of them. Meyiwa, Williamson, Maseti, and Ntabanyane (2017:8610) state that there is a need to consider history when policies are formed and reviewed. Shumba and Moodley (2018:1) agree, stating that an obligation exists to develop and review policies and legislation for ensuring alignment with conventions.

Sempe (2017:49) states that the way to understanding the research policy and its relevance to successful implementation is through review and analysis of the policy. Forje (2017:329) perceives public policy analysis as the rational, systematic approach to making policy choices in the public service. It is a process which would generate information on the intended outcomes and unintended consequences that would follow the adoption and implementation of various policies. According to Mugurura and Ndevu (2020:4), policy implementation follows its formulation as described by the policy cycle. The effectiveness of policy implementation is determined through the traditional analysis process, which represents the extent to which the policy intentions have been translated into the intended policy outcomes and subsequent unintended consequences. According to OECD (2014:44), the Social Cohesion Review Policy acts as a useful tool to measure the level of social cohesion, uncover risk factors, assess the distributive impact of key policies, and ultimately promote discussion of policy reform agenda to enhance social cohesion.

It can be observed from the above discussion, that changes influence policy review and addresses future risk factors. This view is consistent with the suggestion that policy gaps are timeously closed and government's programmes are sustained. Sempe (2017:49) confirms the requirement and the need for the review of government policy to ensure relevance.

4.14 Monitoring and evaluation

The discussion on monitoring and evaluating cover topics which are distinct but interrelated, include definitions of monitoring and evaluation, importance of policy evaluation or assessment, indicators for policy evaluation, structure and organizational alignment for M&E systems, organisational culture, M&E Partnerships, key issues and debate on M&E, assignment of M&E responsibilities, benefits of partnerships for monitoring and evaluation system, development interventions and M&E, linking monitoring and evaluation, government monitoring and evaluation unit, integration of M&E systems in government, approaches to monitoring and evaluation design in government, and public service leadership.

4.14.1 Definition of Monitoring

Ligus (2013:2) states that monitoring is the process of maintaining surveillance over the existence and magnitude of state change and data flow in a system. Prinsloo, Mathews, and Vosloo (2020:130) suggest that monitoring aims to identify faults and assist in their subsequent elimination. The techniques used in monitoring information systems intersect the fields of real-time processing, statistics, and data analysis. A set of software components used for data collection, their processing and presentation is called a monitoring system. According to Goldsmith (2012:2), monitoring is undertaken to ascertain whether the prevailing conditions match the previously defined standards or norms, expressed perhaps as acceptable minima or maxima, or that they lie within certain defined limits.

According to Kabonga (2018:2), monitoring and evaluation is paraphernalia for effective development. Monitoring is defined as a continuous assessment of the function of project activities in the context of implementation schedules and the use of project inputs. A further addition is that monitoring is more of a programme activity that's role is to determine whether project activities are implemented as planned. If not, it determines the cause of the anomaly and what should be done to address the anomaly.

4.14.2 Definition of evaluation

According to Rajakutty (2017:30), evaluation is a process which seeks to determine as systematically and objectively as possible the relevance, efficiency, and effect of an activity in terms of its objectives. Goldman, Deliwe, Taylor, Ishmail, Smit, Masangu, Adams, Wilson, Fraser, Griessel, Waller, Dumisani, Wyatt, and Robertsen (2019:2) support this view, stating that in other words, evaluation represents the assessment of the outputs, outcomes and processes of an activity. When tied to the original goals and objectives of public policy, evaluation represents a process of verification of the extent to which these goals were met, as well as the procedure for improving the accountability of public institutions. As a norm and practice it is expected to produce results that can be applied to improve policy interventions (Giorgi, Pearman, Tandon, and Tsamboulas, 2017:3).

According to Noor (2019:77), evaluations in government programs serve a dual purpose. Firstly, they are meant to establish and maintain close control of resources in order to serve the whole community in an equitable way. Secondly, they address the question of accountability for public resources. Greve (2017:5) argues that evaluation can be used to judge the outcomes of activities, and whether the set goals have been achieved. However, evidence from interventions can also be used as part of an argument for preventative initiatives if it can show that an intervention helps to reduce future costs, and that social investment in an area can prevent negative developments.

Prinsloo, Mathews and Vosloo (2020:130) and Goldsmith (2012:2) emphasise the need to identify faults from the defined standards or norms and assist in their elimination. The achievement of objectives requires periodic assessment of the information using the available data, as implied in Kabonga (2018:2).

It is deduced that policy evaluation is an assessment tool to determine the gaps in a policy which require improvement. The policy evaluation analysis assists to indicate the causes and ways of remedying the identified deficiencies. Evaluation is the tool which is used as the barometer for service delivery and equitable allocation of the limited

resources. The outcome of the evaluation process has an impact on discipline management for the achievement of the mission and objectives of any organisation.

4.15 Importance of policy evaluation or assessment

Greve (2017:5) states that the issue of social investment is an important aspect of evaluation, given that it will always be difficult to measure issues relating to quality of life, well-being, and happiness. According to Machaisa and Mulaudzi (2019:69), these issues can also be an important outcome of an intervention, and integrating these into an evaluation provides a more holistic approach. Thus, evaluation is not always about controlling performance, but about how to use knowledge in order to make decisions. According to Leroy and Crabb (2012:21), policy evaluations at an institutional level are forced to build on an array of evaluations at lower, more concrete levels. At the same time, it is clear that they reveal structural causes of policy success or policy failure and seek out practical reasons for improving policy.

Sambumbu and Okanga (2016:871) state that policy evaluation deals with the evaluation of the causal effects of policies implemented by governments and authorities in terms of achieving outcomes of interest. Marais, Quayle and Burns (2017:37) imply that the rationale for conducting evaluations of public actions lie in the fact that good public policy decisions require reliable information about the causal relationship among variables. Matthew and Olatunji (2016:3) state that, on the other hand, evaluation is the systematic review and assessment of the benefits, quality, and value of a programme or activity.

It is deduced from the above discussion by Boodhoo and Louw-Potgieter that policy evaluation considers value judgement process, which introduces changes that are required to meet the emerging environmental and societal demands. This view is consistent with Machaisa and Mulaudzi (2019:69), Johannes, Batyi, Goldstone, Olsen and ChampionPercoco (2014:1), that evaluation is a change process and an intervention mechanism which results in sound decision-making.

4.16 Indicators for policy evaluation

According to Day and Gray (2013:211), for most indicators, data are given for several years and often from multiple different sources. In most cases these data cannot be used to assess trends and changes over time due to possible differences in methodology and data presentation issues. Even data from regular surveys may not be comparable over time, or revised data for a historical time series may be released. This may result in different values being pronounced comparably with the previous editions. Theophilopoulos (2015:462) suggests that when using time series data, the most recent revisions should be obtained. Spangenberg (2019:142) concludes that indicators based on the microdata are able to evaluate and inform in a differentiated and disaggregated way, in perspective even in real time. Policy evaluation benefits from a disaggregated perspective on the material footprint. Indicators based on microdata are fundamental for the implementation of national policies.

A deduction may be made (2017:40) that the goals of the organisation are influenced by the available data, which impacts on the policy. This view is consistent with Day and Gray (2017:219) who refers to the use of indicators as a means to achieve a specific purpose. The changes in policy are necessitated by current data, which produces the outcomes emanating from the assessment and evaluation process. This therefore means that it is a requirement that policy standards are reviewed to determine the impact of goals in an organisation. This view is further supported by Theophilopoulos (2015:462), who states that the use of the time series data should be based on the recent revisions.

4.17 Structure and organizational alignment for monitoring and evaluation systems

This section deals with the relevance of organisational structure in the monitoring and evaluation system. The related elements which are discussed to give context are mandate, authority, and responsibility.

Scott, Chaplowe and Cousins (2015:66) mention that whatever configuration exists for an organization's monitoring and evaluation system, it is important to remember that capacity building is a means toward an end that is relative to the organization's overall vision and mission. Mapitsa and Khumalo (2018:7) state that the M&E capacity to support this depends on the resource, knowledge and processes at its disposal and its ability to learn and adapt to change. Existing M&E capacity is the supply to conduct M&E, but it is also essential to consider the demand to use it. Thomson (2017:31), in support, mentions that the stock of human capital and the supply of general and technical skills are important. However, the country's ability to use skilled personnel to good effect depends on the incentives generated by organisations and the overall environment. Morkel and Ramasobama (2017:4) agree, stating that capacity building is a process whereby organisations embark on a path to strengthen, create, and maintain capacity over a period of time. The focus is on a much broader goal of effective development results.

Singh, Chandurkar, and Dutt (2017:2) state that every project has a specific start date and a specific end date. The project is expected to achieve its desired objectives within the said time period. It is critical to understand that each project is allocated a limited set of resources. Resources, which may be financial, human, and physical, are allocated to a project so that its activities may be implemented, and its objectives achieved within a specific time period. According to Stone (2015:24), a project is also allotted a fixed period, human resources, and fixed physical resources with which its activities may be implemented and its objectives achieved in a specific period of time. Burkett (2013:9) expresses the importance of developing the capability of available resources, since many organizations have turned into core teams of subject matter experts to initiate and lead comprehensive M&E efforts. This includes providing continuing education and performance support for implementation teams to promote collaboration and innovation.

4.17.1 Mandate

According to Moyo (2019:188), mandate is when someone is being given authority to carry out a particular policy or task. Clarity on mandate was necessary for the different players in the e-Government environment in South Africa to understand their boundaries and mandate. The Department of Telecommunications and Postal Services (DTPS) is mandated to set a strategic direction for e-Government. Maleka (2016:168) suggested that State Information Technology Agency (SITA) is mandated to implement e-Government. Within these mandates are the roles of different officials who set out to achieve different tasks towards that mandate as individuals, but mostly in teams.

Levin (2017:137) states that a government-wide system of monitoring and evaluation was conceptualised and introduced to try and strengthen practice and data collection with a view to establish a dashboard for the President and Cabinet to focus on priority areas and track performance progress and impact. Crosby (2016:24) agrees, stating that the government of South Africa established the Department of Planning Monitoring and Evaluation as a Ministry in the Presidency. Concomitant with these developments, Parliament and Legislatures have steadily incorporated M&E into oversight work.

4.17.2 Authority

Lopez-Acevedo, Krause, and Mackay (2012:38) state that when the M&E system is housed in the government's center, it usually serves as a tool for management or for budget control. Under central budget authorities, M&E is often used to control efficiency and/or efficacy of resource use, and as such, the M&E body usually enjoys considerable power to enforce the recommendations resulting from M&E assessments. Location under the budget authority also provides better integration of M&E into the budget and executing stages of the public policy cycle. Cloete (2014:10) adds that monitoring of government performance through a system of key performance indicators, targets, tools, and techniques is a management function that enables and assists the public manager to perform the more basic management tasks. Evaluation allows the manager to move to a deeper level of understanding, and is a more advanced management

function, requiring more sophisticated skills. IMIESA (2019:23) supports this view, suggesting that the utilisation of evaluation findings enables the manager to plan, lead, organise, and control better; and thereby improve the organisation's performance in terms of its adopted vision, mission, stated goals, and objectives. It may thus be concluded that monitoring and evaluation can be described as a management function that enables managers to perform their core management functions better.

Piattoni and Polverari (2016:47) clarifies that when implementing cohesion policy through operational programmes, there is a fundamental need for appropriate administrative capacity, to be able to coordinate, provide advice and essentially act as an intermediary between stakeholders. The organisation of implementation is firmly rooted in existing national and regional administrative structures. The managing authority institution is shaped by the power, size, and political culture of each country. According to Mina (2018:8), cohesion enhances welfare services, including programmes, and promotes sound government policies to ensure stability in the political system. Shabangu (2015:53) agrees, viewing cohesion as the intangible bonds that link individual and collective members of a nation, as the intangible bonds that link individual and collective members of a nation.

4.17.3 Responsibility

According to Hanf and Toonen (2012:210-221), the distinguishing characteristic of inter-organizational implementation is that the obligation to policy usually cuts across loyalty to the organization. Lines of responsibility exist towards the hierarchy or the organization. Dintwe and Masiloane (2014:193) suggest that most of the time, bureaucracy, obeying the dictates of organization creates no special enduring tension with policy. It is common course that in a democratic institution there will be a delay in implementing policy decisions. Botha (2015:349) supports this view, stating that there is a need to increase the extent to which individuals would assume responsibility for action. Yet this hardly solves all problems in the inter-organizational setting. Luthuli and Houghton (2019:680) concur that inter-organisational activity is an important element of

governance, policy-making, and the administrative avenue of economic development. Cox III and Haruna (2018:74) agree, stating that inter-organisation promotes relations and is viewed as the frame or lens for decision-making.

Mkhwanazi (2013:136) states that inter-organisation has a responsibility to make oneself available for service of the other in such a way that one's own life is intractably linked with the other's life. In other words, one is a human being in the sole measure that one is responsible for another. Responsibility is therefore a place where one binds oneself to the other. Levinas (1966:38-39) sees inter-organisation as a responsibility in which one enters into a relationship that is disinterested, but not indifferent, with the other and seeks the good of the other.

From the discussion of Mapitsa and Khumalo (2018:7) above, it may be deduced that the structure and organisational alignment is affected by the allocation of the necessary resources to ensure effectiveness. To achieve the set objectives, functionaries are given the latitude to upskill and build capacity (Scott, Chaplowe and Cousins, 2015:66). This view is consistent with the statement contained in Morkel and Ramasobama (2017:4) that capacity building is futuristic goal orientated. The actions of officials must be informed by a mandate from a reliable source (Moyo, 2019:188; Maleka, 2016:168). The success of an organisation is dependent on the execution of entrusted official responsibilities. This view is confirmed by Botha (2015:349) who calls for action on the extent to which officials should exercise responsibility.

4.18 Organizational culture

Organizational culture is a form of organizational intelligence or firm level capability in functioning effectively in culturally diverse situations (Solomon and Steyn, 2017:70). According to Scott, Mannion, Davies, and Marshall (2018:12), organizational cultural change comes of a crisis that affects the old leadership, as well as the effectiveness of a new leadership in taking cultural control. Amofa and Ansah (2017:19) state that leadership and good people management proficiency help advance employee commitment levels to enhance organisational culture. Chamba and Chuma (2016:145)

state that change involves the crystallization of new action possibilities (new policies, behaviours, patterns, methodologies, etc.) based on re-conceptualized patterns of the organization. The architecture of change involves the design and construction of new patterns, or the re-conceptualization of old ones, to make new, and hopefully more productive, actions possible. Thus, change is the movement away from a present state toward a future state.

Jackalas, Martins, and Ungerer (2016:358) state that organisational culture can be used to foster organisational commitment, convey a philosophy of management, rationalise and legitimate activity, facilitate socialisation and motivate employees. Chamba and Chuma (2016:161) mention that culture walks showed that unofficial values are stronger and more prominent in the conduct of staff members. Van Der Merwe (2016:262) agrees, suggesting that organisational culture instills the sense of discipline that is imparted to subordinates, as well as the resultant acceptance that “this is the way we do things around here”.

Ware (2018:32) mentions that the most important decision in culture change concerns the selection of a new leader, in as much as a new leader who enters an organization during a period of crisis has unique opportunities to transform the organisation’s culture by bringing and embedding new artefacts, perspectives, values, and assumptions into the organization. Leaders do indeed appear to be the creators and transmitters of culture. Alvesson Solomon and Steyn, (2017:70) concur that leadership make the decisions in an organisation.

It is deduced from Solomon and Steyn (2017:70) and Scott, Mannion, Davies and Marshall (2018:12) that organisational culture is concerned with diversity and incorporates the various dispensations. This dynamic consideration instills effectiveness in the operations of the organisation. The assertion of Jackalas, Martins and Ungerer (2016:358), Chamba, and Chuma (2016:161), and Van Der Merwe (2016:262) suggest that organisational culture inculcates a sense of commitment and discipline which defines the mission and set objectives.

4.19 Interventions

Rasila (2019:1) states that governments across the world have development interventions or plans. Ngumbela (2020:36) suggests that these development interventions are plans that reflect the agenda of the Medium Term Strategic Framework (MTSF) that are drawn from the manifestos of the ruling party. Makahamadze (2019:144) agrees, stating that when elections are well managed, they promote peace, stability, and economic development, but when they are mishandled and perceived as stolen, they can be a lightning rod for social discord.

According to Sithomola and Auriacombe (2018:88), a new paradigm for knowledge development and related structures is needed to manage the knowledge development process. Khoza and Pretorius (2017:8) state that all that is required for knowledge sharing may be motivation from top management. Khoza (2019:2) suggests that organisational continuous learning and knowledge sharing enable the organisation to face the market dynamics

According to Human (2019:14), M&E is viewed as a process that tracks continuous progress and periodically assesses progress for the sake of accountability, transparency, and improved management services. Crous and Roets (2014:7) suggest that monitoring is separated from evaluation where monitoring is described as being done continuously, focusing mostly on the fact that the programme is progressing as planned and enables adjustments in a methodological order. Chitongo and Pretorius (2020:78) concur that evaluation is mostly focused on periodically assessing the relevance, efficiency, and impact of the policy. The effectiveness of M&E is measured through the completion of planned projects and sustainable development. Sidney (2017:14) agrees, stating that measurement is the first step that leads to control and eventually to improvement. If you cannot measure something, you cannot understand it. If cannot understand it, you cannot control it. If you cannot control it, you cannot improve.

It can be observed from the above discussion that development interventions are a global phenomenon for the implementation of government plans. This view is consistent with the notion by Cloete *et al.* (2014:220) and Rasila (2019:1) that it is drawn from the manifestos of the ruling party. Human (2019:14), Chitongo and Pretorius (2020:78) confirm that periodic assessment of policies is necessary to avoid irrelevance and to conform to the objectives of a developmental state

4.20 Monitoring and evaluation partnerships

Marchetti (2017:16) states that through partnership, the actors involved may acquire additional means and tackle problems such as a lack of financial resources, technical expertise, or political legitimacy. This perspective considers partnerships as the by-product of power positions, but also as power-enhancing instruments to ensure the effectiveness of an organisation. Yalew (2019:12) states that liberals see partnership as a result of bargaining among a set of independent actors. According to this interest-based perspective, cooperation is developed in order to reap joint gains, especially under circumstances of limited supply of public goods and regulations by governmental actors. Adelstein (2019:97) supports this view, stating that it is cooperation based bargaining, and one that secures compliance through positive incentives relying on cost-benefit analysis.

According to Patel (2018:5), the increased prominence of reporting as a monitoring process is partly because of the increasing number of agencies involved in preparation and submission of reports. Kempen (2020:34) suggests that partnerships and the sharing of data and information are therefore two key aspects in fighting and preventing crime. Botha (2018:31) states that partnerships are a good example of working together to benefit the community and create jobs.

Bwengye (2016:144) mentions that there is a lack of understanding about partnership, with stakeholders still having difficulty in understanding their role in the monitoring process. Matlala (2018:144) confirms that these include application of legislation, improving relations, and formation of partnerships with different stakeholders to prevent

unethical conduct. Hollander (2020:326) suggests that programmes contribute to improved stakeholder relationships and partnerships.

Latib (2014:468) states that partnerships embrace wide engagement and an approach which incorporate voices into the upward flow of reports mediated by technocrats. According to Mapitsa and Khumalo (2018:4), partnerships and cooperation are critical, with organisation required to process adequate institutional framework for the effective management of the evaluation function. Marchetti (2017:16) suggests that partnerships are policy issues for improving monitoring and evaluation.

The deduction derived from Marchetti (2017:16), Yalew (2019:12), and Adelstein (2019:97) is that disciplinary management involves stakeholders who have joint efforts to achieve a common objective which involves plea bargains to successfully finalise disciplinary cases. Patel (2018:5) and Kempen (2020:34) imply that the manner of monitoring the performance of disciplinary management is by means of data collection, analysis, and joint reporting.

4.21 Responsibilities for monitoring and evaluation

The Parliamentary Commission on Banking Standards (2013:38) states that arrangements for the allocation of individual responsibilities need to take account of changes in personnel. A recommendation is that before relinquishing any responsibilities that are passed on to a successor, a handover certificate is prepared, outlining how they have exercised their responsibilities. They should further identify the issues relating to their responsibilities of which the next person holding them should be aware. Such a handover certificate should be held as a matter of record and should be available to the regulators to assess the effectiveness. Bukovansky, Clark, Eckersley, Price, Reus-Smit, and Wheeler (2015:215) argue that taking responsibility necessarily entails accountability or answerability. This accountability is normally to the broad community that makes judgement about the discharge of those responsibilities. Responsibility also assumes certain prerequisites. Orts and Smith (2017:128) contend

that the responsible agent must have both the discretion and capacity to act or refrain from acting in certain ways in relation to that constituency. Gray (2013:8) adds that the responsible agent can be held accountable for the rational and moral exercise of discretionary power in the performance and non-performance of the obligations.

According to Phuthi (2016:22), the assignment of responsibilities requires the concerned leaders to bring structure and direction to followers by setting goals, providing training, defining expectations, and limits on behaviour, and establishing rules and procedures. Tirivanhu, Olaleye, and Bester (2017:693) suggest that monitoring and evaluation is charged with the responsibility of coordinating and contributing to improve the effectiveness and efficiency of the public service. Tirivanhu, Robertson, Waller and Chirau (2018:232) agree, stating that tertiary education institutions are required to train highly qualified and skilled evaluators who can produce high quality evaluations and improve the ways in which the findings are utilized by policy-makers or governments.

According to Shue (2014:16-17), officials may form a pool of persons eligible to bear some degree of responsibility, including people who may or may not already have failed in their responsibilities. The fundamental issue then becomes whether one is carrying one's fair share of responsibility, given the allocative principles for the assignment of responsibility. Maltais and McKinnon (2015:120) state that if one fails to carry out one's responsibility, one acts unfairly toward the others in the pool of shared responsibility. If recent generations fail to carry out their responsibility of preventing avoidable delays, they are guilty of unfairness toward at least some members of future generations. Ferrazzi and Rohdewohld (2017:118) contends that often decentralization reform results in giving more responsibilities for the implementation of services, while policy-making, strategic planning and the setting of norms and standards is retained by higher levels of government. This implies that the system of monitoring and evaluation of oversight and supervision needs to be modified so that the higher levels of government can keep track of what is happening at lower levels.

From the discussions above it may be deduced that monitoring and evaluation require officials who are assigned responsibilities to take the initiative and make precise decisions. This view is consistent with Wheeler (2015:215), who states that officials who are assigned to perform particular functions are given the responsibilities, and are therefore expected to be answerable to their actions. The statement by Ferrazzi and Rohdewohld (2017:118) above, confirm monitoring and evaluation as having an impact on management processes, and play an important role during planning, implementation, and policy review.

4.22 Partnerships for monitoring and evaluation system

Persily (2013: 226) states that the key to the success of partnerships is a perceived benefit by the stakeholders. Those benefits might include parameters, such as sharing of resources, saving time, learning from one another, expanding creativity, or increased legitimacy. Taylor, Cockburn, Rouget, Ray-Mukherjee, Mukherjee, Slotow, Roberts, Boon, O'Donoghue, and Dowes (2016:2) agree, stating that partnerships address real-world problems through collaboration with practitioners and decision-makers.

Coetzee (2014:28) states that partnership is a relationship between individuals or groups that is characterized by mutual co-operation and responsibility for the achievement of a specified goal. Philpott and Muthukrishna (2019:2) view partnership as being mutual respect, trust and honesty, jointly agreed upon goals, as well as shared planning and decision-making. Gao, Zhang and Shen (2019:6) concur, stating that partnership has gradually become the critical focus to facilitate successful strategic alliance.

Taylor *et al.* (2016:2) state that partnerships are not only outcomes driven, but ensure quality of the process. Kachur, Soal, and Van Blerk (2016:1) contend that continuous evaluation explicitly addresses learning and accountability, and provides an opportunity for reflection by the participants in the programme. Warinda (2019:10) suggests that evaluations and reflection activities are further enhanced as learning focused activities when they are conducted in an engaged, participatory manner. According to Govender

(2013:815), functionaries in partnerships are accountable to deliver the desired outcomes and provide evidence to inform corrective action. It therefore simply means the outcomes of performance management, corporate governance, (and legitimacy) and M&E are interrelated. Mapitsa and Khumalo (2018:3) agree, stating that partnerships improve performance and accountability through effectiveness of monitoring and evaluation system.

From the discussion, it may be deduced that accountability is the pillar and benefit of partnerships. This view is confirmed by Mapitsa and Khumalo (2018:3), persily (2013: 226) and Warinda (2019:10), who state that accountability instills learning and the appropriate implementation of policies.

4.23 Monitoring and evaluation

Hughes, Hunt and Curth-Bibb (2013:266) argue that there is a general belief that changes in missions and their operating environment are not necessarily discrete or self-evident, and therefore M&E would be most useful if it was designed in such a way that it allows for recursive adaptation to these unpredictable circumstances. Boniface and Groenewald (2016:267) agree, stating that there is a need for greater flexibility and adaptability to be built into M&E so that it can be calibrated along the way as the mission progresses.

Mapitsa and Khumalo (2018:2) suggest that measures of M&E system effectiveness have historically tended to focus disproportionately on technical issues of individual skills and data collection and management. Jakaza and Visser (2016:260) state that the notion of strategic manoeuvring is at the core of pragma dialectics. This is the management of the discourse, which is aimed at making the strongest possible case, while at the same time avoiding any moves that are clearly unreasonable. Noor (2019:93) cites the lack of organizational infrastructure and management practice needed to develop evaluation capacity.

Fourie and Kimaro (2017:5-6) state that the setting of realistic and credible indicators can be influenced by the practitioners' competency or ethics. Unethical M&E practitioners tend to develop indicators which are easy to achieve, and may ignore parts of the plan or programme, regardless of their importance or strategic contribution. M&E practitioners can apply a particular type of sampling in order to target a particular type of result. Kariuki and Reddy (2017:6) imply that the monitoring and evaluation of information may be doctored to omit negative findings, hide underperformance, exaggerate success over failures, and favour a particular group of institutions or society. At the reporting of the M&E information stage, common unethical practices relate to premature release of findings, breaching confidentiality, and complexity in information presentation. According to Krum (2014:16), others withhold data in what can be referred to as 'mini skirt' release of information. This is releasing enough information to raise audience interest, while purposely hiding key findings. Sithomola and Auriacombe (2018:97) suggest that the other common unethical practise is that of withholding M&E information until it is no longer relevant, or recycling M&E performance information to suit a particular purpose or audience, but not the planned commitments. According to Cloete, Rabie and De Coning (2014:45), evidence based decision-making at times competes with the narrower and normatively-based interest of lobby groups, pressure groups, think tanks, opinion leaders and the media, and also with pragmatic matters such as parliamentary terms, time tables and procedures, and with, at times, limited capacities and unanticipated contingencies to influence policies.

From the above discussion, the following deductions are made: The unethical conduct by practitioners in monitoring and evaluation compromise the objectivity of the process. This view is confirmed by Fourie and Kimaro (2017:5-6), Kariuki and Reddy (2017:6) and Krum (2014:16), who suggest that practitioners develop indicators which are easy to achieve, omit negative outcomes and exercise biasness, including withholding of data and information until it becomes obsolete. Monitoring and evaluation should be flexible and adapt to change for the M&E system to have an impact (Hughes, Hunt and Curth-Bibb, 2013:266; Boniface and Groenewald, 2016:267).

4.24 Linking monitoring and evaluation

According to Kabonga (2018:6), monitoring and evaluation processes complement each other. Monitoring, for example, provides information on the status of the project or programme in relation to targets. If targets are not met, evaluation provides evidence on why targets are not met. When monitoring sends information on things which are not working as envisaged, evaluation then provides clarity to the realities, and brings to the fore the broader project context. Kimaro and Fourie (2017:3) contend that management reforms are deliberate changes, informed by sets of ideas or ideologies, to the structures or processes of public sector institutions with the objective of getting them to perform better. Reforms bring about suggestions for making governments more effective and making them deliver quality services by introducing results-orientated approaches.

According to Kusek and Rist (2004:13), evaluation, like monitoring, may be conducted at the project, program, or policy level. Table 4.1 below, highlights the different — yet complementary — roles that monitoring and evaluation play in M&E systems. The disparities between monitoring and evaluation are explained, and provide the outcomes of each process, using five synopses. However, the two concepts are in practice interdependent and interrelated.

Table 4.1: Link between monitoring and evaluation

<i>Monitoring</i>	<i>Evaluation</i>
Clarifies programme objectives.	Analyses why intended results were achieved or were not achieved.
Links activities and their resources to objectives.	Assesses the specific causal contribution of activities to results.
Translates objectives into performance indicators and set targets.	Examines the implementation process.
Routinely collects data on those indicators.	Explores unintended results.

Reports progress to the manager and alerts them of problems.	Provides lessons, highlights significant accomplishment or programme potential, and recommends improvement.

Source: Kusek and Rist (2004:14)

Markiewicz and Patrick (2016:146) state that demarcation between monitoring and evaluation can be blurred in practice. The distinction between the two functions is partially dependent on how often evaluation occurs within a program cycle, and the extent to which it can provide the real-time data that monitoring can, and the extent that routine monitoring is able to undertake some of the deeper levels of analysis of a program’s results over time, including its quality and value, as provided by evaluation. Tengan, Aigbavboa, and Oke (2018:178) suggest that the future of monitoring is to position it within an approach that more seamlessly links planning, monitoring and evaluation functions. In this way, both monitoring and evaluation support the use of results for program review and re-planning. According to Cloete (2014:4), monitoring and evaluation are management activities that are necessary to ensure the achievement of policy goals in the form of concrete results. Systematic planning, design, and implementation for the purpose of improving the quality of policy outputs and outcomes will be to no avail if one is unable to assess whether one has hit the intended target.

4.24.1 Learning and Accountability

Kabonga (2018:10) states that there has been a call over the years for accountability and learning when implementing policies and projects. Development practitioners and professionals are superintendents of learning and accountability in development endeavours and are task with development. Learning and accountability are tasked with the responsibility to learn about models and determine the effectiveness. According to Mbiko, Mbara, and Swanepoel (2017:6), M&E practitioners go further and offer strategic decisions to the implementers in relation to the disjointed coordination of models.

Sambumbu and Okanga (2016:871) agree, stating that one of the principles of monitoring and evaluation is to interrogate the implementation strategies to establish if these are working or not.

Kachur (2016:7) states that when organisations are going through changes, M&E can play a critical role in shaping the strategy and prioritising key areas. The need for accountability is greater as organisations have to perform better to get funding. Learning at the same time, plays a critical role for holding and guiding changes within organisations. According to Taylor, Hayward, Eyre *et al.* (2016:10), the ability of organisations to learn should grow if the turbulence of the external environment is growing. The learning-orientated M&E can also be used as a recovery process to redefine the strategy of the organisation that has gone through significance crisis. Stathers, David, Low, Mulongo, and Mbabu (2013:289) agree, stating that accountability, decision-making and learning should be linked. For example, information provided by a scientist or an organisation to meet accountability requirements may be used by managers at higher levels to determine a future course of action in the focal project or other similar projects.

4.24.2 Participatory Monitoring and Evaluation

According to Kabonga (2018:11), one of the manifestations is the participation of the communities and beneficiaries in the monitoring and evaluation developmental interventions. Communities must be able to participate and assess the impact, efficiency, effectiveness, relevance, and sustainability of the developmental initiative. Isobell, Taliep, Lazarus, Seedat, Toerien, and James (2018:33) are of the view that participatory methods provide opportunity for involvement in decision-making and a sense of ownership in the M&E results and recommendations. Communities and beneficiaries must be involved from the beginning to make an impact in the monitoring and evaluation of the development intervention. Levin (2017:146) supports this view, stating that participatory methodology provides an integrated articulation of an alternative cultural and economic paradigm of development. Development is a

perception which models reality, a myth which comforts communities, and a fantasy that unleashes passions.

Wynberg and De Beer (2018:102) regards early interventions prior to the setting of policy, which could include one-on-one interactions, and active in-depth engagement between stakeholders and policymakers, as certainty for assistance to strengthen the process, both through its design and its stakeholder involvement. Maluleke (2018:142) supports the view that if participatory processes are to bring about high quality and durable decisions, then stakeholder engagement from the very start of the process is critical. Ssekamatte (2018:3) agrees, stating that interventions are necessary and have an impact in the achievement of results through insights and judgements reached about the effectiveness of the programme.

Nzewi (2012:38-39) states that participatory monitoring and evaluation (PM&E) can be seen from broad angles of practical and transformation. This distinction is aimed at showing historical, ideological, and contextual factors that affect how PM&E is used. PM&E is geared towards the democratisation of social change. According to Katoma and Olivier (2016:358), participatory process is concerned with change-challenges, engage with, and amend plans and handle the subtle dynamics of change. Tchombe (2019:132) concurs that participatory is an indicator of good governance that inculcates values, bearing in mind the emotional and social implications. Abrahams (2019:1) agrees, stating that PM&E is used to describe governance monitoring practices with a sensitivity to social problems, and impacts positively on change.

4.24.3 Quality Assurance

Georgios, Joshi, and Paivandi (2017:35) assert that evaluation is welcomed if the aim is to help the institutions in quality assurance and quality enhancement endeavours. In that case, assessment takes into consideration the relation between audited performance and available resources and contributes to an awareness of the importance of provision of adequate resources for required attainment. According to

Kagoya and Kibuule (2018:2), quality assurance systems needs to work harder and be more robust relative to other countries where performance threshold and incentives can be set as a routine part of the funding system. Luruli and Mouton (2016:65) suggest that while a major change in funding arrangements is not expected to be an outcome of this review, it is important to acknowledge that there are additional ways to influence quality, such as providing differentiated funding resources for accreditation and quality improvement. Crawley (2017:4) supports that quality assurance is considered as tools and systems that channel and transmit M&E information.

Kabonga (2018:11) state that one of the preeminent aspects of monitoring and evaluation is quality assurance. Quality is a cross-cutting dimension in project implementation, and data being one of them. Data quality is assessed on completeness, accurateness, timeliness, and consistency. Kademeteme, Kalema, and Pretorius (2017:31) concur that the data which meets the set criteria is regarded as quality data, while data that fails to meet the criteria are regarded as compromised quality. Data collection tools must measure the phenomena they purport to measure. In practice, one of the elementary principles of monitoring and evaluation is reporting the figures that have source documents. According to Chetty (2019:38), the major responsibility of bench analysts with regard to quality assurance is to comply with the procedures and standards established under the program, and to report to their supervisor any problems that could be related to the quality of their data. Also encourage them to offer any suggestions they may have for improving the program or solving any problems that might arise.

4.24.4 Reporting

Kabonga (2018:14) states that the power of monitoring and evaluation manifests in the ability to demonstrate results. Reporting serves as proof that work has been done and the financial resources allocated were used appropriately in the implementation. Failure to report has implications to both the organisation and the M&E professional. Failure to report, affects funding and relationships at both organisational and personal level.

Thakhathi (2019:34) suggests that reports which should be produced by monitoring and evaluation officials are statistical and narrative reports. The statistical reports should inherently focus on reporting achievements in figures and on specified indicators. Narrative reports explain the impact, outcomes, and sustainability of the project. Lampen and Lampen (2015:8) view narrative, on the other hand, as being anchored in statistical discourse, drawing on the procedural definition of the median. Hirschauer (2014:92) agrees, stating that statistics require the gathering of more information to better understand the nature and extent of the phenomenon and enhance reliability.

Mbabu, França, Mulongo, Munyua, Ojwang, and Low (2014:80) clarify that the reports are designed in such a way that project staff do not lose focus of the big picture. This alignment between activities, outputs, and outcomes is critical in managing for results. The reporting arrangement, bi-weekly reports focus on the link between resource utilization and activities executed; quarterly reports link activities to respective outputs; and the six monthly reports demonstrates how outputs are leading to respective objectives. Annual reports wrap this up with a synthesis on overall achievements, challenges, and lessons learned. Mmako and Van Rensburg (2017:47) confirm this, stating that annual reports are considered valued communication tools used for dialogue as well as marketing tools that can impart a particular organisational message.

According to Smit and De J Cronjé (2002:394), collecting data and reporting on actual performance on the activities that constitutes performance management are an ongoing activity. The complexity of reporting is a function of the type and number of variables that should be measured and monitored. Joubert, Mulder, and Nel (2015:87) suggest that the assessment of the actual performance can also be hampered by the nature of what has to be measured. A further important requirement for observing performance is that reporting should be absolutely reliable. Unless data is accurate, control will not be effective. An important aspect of reporting on the organisation's activities is how much information should be fed back and to whom. Mosese and Mearns (2016:3) agree, stating that management information indicates the difference between performance standards and actual performance to enable management to concentrate on the

deviations or problem areas. A minimum of time should elapse between performance and its measurement so that deviations can be identified and immediately rectified for sound decision-making.

4.24.5 Mentoring

According to Kabonga (2018:17), the unique quality and outcomes from the project implementation without the regular monitoring and mentoring of project staff and volunteers is without meaning. The monitoring and mentoring professionals must provide training to project staff and volunteers. Wagner and Du Toit (2020:185) imply that mentoring involves how to use project data collection tools effectively. The other important factor is how to ensure data quality through completeness and accuracy of data. Given quality of expectations, the need for constant mentoring cannot be overemphasised. Chiroma (2017:56) concurs that mentoring is periodic and is dependent on the unfolding of implementation and the emerging anomalies, which will determine the type and frequency of mentoring. Staff should also be mentored on aspects of data quality, report writing, and documentation of success stories. According to Hawkins (2013:12), mentoring is a practice that embodies methods by which one person can ethically enable others to achieve desired changes in their behaviour and attitudes in order to serve most effectively the larger cause in which the individual, team, and organization are engaged. According to Khunou (2019:3), mentoring is a process in which an experienced person (mentor) guides another person (mentee) in the development of her/his own ideas, learning, and personal or professional competence. Seekoe (2015:60) agrees, stating that mentoring is an interactive, reflective, participatory process of relationship building, engagement and development between mentor and mentee, during which the former develops and evaluates the achievement of specific development needs in order to achieve the outcome of mentee for empowerment and capacity building with regard to specific competencies.

Pinho *et al.* (2005:1) state that developmental relationships, including mentoring are increasingly becoming a source of meaningful feedback, psychological safety, stability,

and continuous professional growth. Formal mentoring programmes are seen as a way to establish learning relationships that enable the continuing development of employees. In the South African context, formal mentoring programmes have also become a tool for promoting the growth and development of junior employees and people from historically disadvantaged groups. Mentoring may increase job satisfaction, career attainment, and organisational commitment. Organisations often encourage mentoring through formal programmes, since mentoring plays a role in increasing performance and improving work attitudes (Kururu and Stephen, 2018:81). Havenga and Sengane (2018:7) suggest that mentoring involves an older and experienced employee fostering the growth and development of a junior employee to become a competent professional. According to National Academies of Sciences, Engineering, and Medicine (2019:4), mentorship refers to a collaborative learning relationship and working alliance based on intentionality, trust and shared responsibility for the interactions in that relationship and the effectiveness of those interactions. Marsh (2017:43) agrees, stating that the collaborative relationship may present unintentional barriers to building individual trust and effective knowledge exchange.

From the above discussion, it may be said that monitoring and evaluation are intertwined and the success is mutual. This view is consistent with the statement of Kabonga (2018:6), which states that monitoring and evaluation processes are different but complementary. Management bases its decision on reliable information from the evaluation processes. The objectives are informed by the evaluation evidence which management use to effect changes. The lessons derived from monitoring and evaluation should assist in the formulation of improvement measures (Stathers, David, Low, Mulongo and Mbabu, 2013:289). The evaluation outcome influences strategic decisions, which prompts for reprioritisation of objectives, and pave the direction of an organisation. The implementation of lessons learned; integrate accountability in ensuring that the involved functionaries are liable for their actions (Isobell, Taliep, Lazarus, Seedat, Toerien and James, 2018:33).

4.25 Integration of monitoring and evaluation systems in government

Lopez-Acevedo, Krause, and Mackay (2012:3-4) state that M&E focus on measuring the results produced by government, its outputs, outcomes and impacts. The M&E system may exist at the level of an individual agency, entire sector, or the government as a whole. It can provide unique information about the performance of government policies, programs, and projects at the national, sector and sub-national levels. Drotskie and Okanga, (2015:388) opine that M&E identify what works, what does not work, and the reason why. M&E also provides information about the performance of a government, of individual ministries and agencies, and of managers and their staff. Highlighting examples of good practice and poor practice can help improve performance. According to Frankenberger, Conostas, Nelson, and Starr (2014:3), collaborations and partnerships between donors and governments help promote the integration of humanitarian and development strategies. Partnering with private interests may prove to be effective in advocating for infrastructure investment in marginalized or underserved areas that are not being served by government initiatives. The private sector may help reduce competition, particularly between NGOs, for limited donor resources and help facilitate a move toward longer-term programming.

According to Tshiyoyo et al. (2018:115), by the 1980's external and internal turmoil forced African governments to take measures and adopt strategies that could address service delivery woes. Service delivery improvement measures undertaken which are linked to M&E relate to public service reforms and poverty reduction strategies. Fowler (2013:5) states that the reforms emphasise mainly results and accountability. M&E is essential as it facilitates measures of performance, informs decision-making, determines resource allocation, guides human resource management, and recognises performance. The actions of public administrators and the ability of the government to provide the required level of services, is managed through a performance management regime. Ogbeifun (2018:1858) suggests that performance management aims at improving external accountability within the context of governance, while simultaneously increasing the internal efficiency and government institutions. Govender, Grobler, and Joubert (2015:570), in support, state that performance management is an interactive

process involving the employees and the managers, where the outcome is influenced mainly by the manager. Uwizeyimana (2020:1) concurs that monitoring and evaluation act as an enabler to government officials in the provision of services from design, execution, reviews, feedback, and reporting. It is therefore important to take into cognisance the M&E information type and know what to measure in the process. Cloete (2014:3) regards programme and project evaluation as focussing on how effectively and efficiently resources are converted through various processes into concrete deliverables and ultimate outcomes.

4.25.1 Monitoring and evaluation information type

Dewachter and Holvoet (2016:3) state that Information Communication Technology (ICT) is critical in that its activities include running information systems in the back offices, as well as those that ensure interaction with clients. The quality of M&E services to clients are improved, which enhances the efficiency, speed, and convenience of public sector services. The initial developments in e-governance only resulted in partial automation of government operations (Mukonza 2014:503). According to Singh *et al.* (2017:27), monitoring is defined as the concurrent process of tracking the implementation of the activities of the project and attaining its planned outputs. It helps to provide real-time information on the progress of the project in terms of completing its activities and achieving its immediate outputs, both in terms of quality and target. Letellier and Eppich (2015:12) agree, stating that monitoring is thus an activity to see if an ongoing project is proceeding on track. It involves the process of systematically collecting data to provide real time information for all stakeholders on the progress of implementation and the achievement of desired outcomes.

Muñoz (2018:156) notes the concept of digital government as changing the way governments around the world are acting, from ensuring greater accountability and transparency within government, to building greater public trust, governments are leveraging the power of information technologies in transformative ways. According to Thinyane, Sieborger, and Reynell (2015:241), ICT is used in the provision of the public

services and to encourage public participation in the formulation, implementation, monitoring, and evaluation of public policies and services, using digital data. Castelnovo, Misuraca, and Savoldelli (2015:2) suggest that the shift of using technology to shape public governance outcomes and simply to support government processes, requires coherent and strategic planning of policies for digital technologies in all areas and levels of the administration.

4.25.2 What to measure

According to Burkett (2013:1), while measurement can stop at any level along the way, more organizational clients and sponsors are requiring measures of application, impact, and return-on-investment (ROI) from their learning function. Mtshali (2015:22) suggests that capturing impact data that meets leader's demands for credibility and consistency means that a learning function must have a comprehensive, result-based measurement and evaluation (M&E) process in place. Sustaining a durable, result-based measurement process that continues to add value over time is a unique challenge. In many ways, maintaining measurement momentum is like changing the wheels of a moving car. As with any process improvement effort, consistent attention, dedicated focus, and perpetual motion must be maintained to go the distance. Kumar and Gupta (2012:240) mention that most economic evaluation produce a cost effectiveness ratio, which is expressed as a measure of benefits resulting from the intervention relative to the intervention's total cost. Cost effectiveness ratios thus represent the return-on-investment in an intervention compared with taking no action. Polinder, Toet, Panneman, and Van Beeck (2020:11) in contrast, imply that incremental cost effectiveness ratios directly compare two interventions by dividing their difference in benefits by their difference in costs. Bennett, Marcus, Abbot, and Hugo (2020:2) support this view, stating that incremental cost effectiveness ratios are determined for interventions where the current practice costs and effects in the intervention and control areas are assumed to be equal.

Pali and Swaans (2013:15) refer to knowledge sharing mechanisms tools as being used to measure the channels through which information and knowledge are transmitted to the innovation platform actors and the reach of these channels. This tool captures the information about the number of knowledge sharing channels, number of people that have been reached by each mechanism, and their perception of the channels. The knowledge sharing mechanisms should be used at the end of each planning cycle. This helps to track the extent to which, and how the process and activities are improving over time. Maharaj and Brown (2015:20) describe knowledge sharing as 'a set of behaviours that involve the exchange of information or assistance to others.

A deduction is made from the above discussion that evaluation promotes good corporate governance by focussing on organisational factors which impact on the external environment. This view is articulated by Ogbeifun (2018:1858) who make reference to governance for improved external accountability, while increasing internal efficiency. Effectiveness and efficiency are the core outputs of the monitoring and evaluation system as alluded to by Cloete (2014:3).

4.26 Government monitoring and evaluation unit

Cloete (2014:70) states that the South African Cabinet in July 2005 adopted a strategy to establish a Government-wide Monitoring and Evaluation System (GWM&ES) over a period of two years. The GWM&ES is intended to coordinate a systematic programme of policy monitoring and evaluation throughout the public sector in South Africa. Dewachter and Holvoet (2016:1) imply that this programme is aimed at improving general public management in the country, and the vehicle for reporting on the implementation of the UN Millennium goals and targets to halve poverty according to a set of common indicators. The revised M&E system does not only monitor internal government performance, but is also aimed at determining the nature of external government outcomes and impacts of South African society. It is also aimed at determining the eventual longer-term results of policy and service delivery interventions or a lack thereof. Goldman, Byamugisha, Gounou, Smith, Ntakumba, Lubanga, Sossou, and Rot-Munstermann (2018:7) concur that the existing monitoring and evaluation

capacities and programmes in line function departments are retained, linked and synchronised with the framework of the GWM&ES, which is managed from the DPME in the Presidency. Dlamini and Migiro (2016:376) agree, stating that in view of the fact that the expected delivery of various development projects and programmes has been declining, there is high level of displeasure emerging from society due to poor service delivery levels, which in turn worsen poverty levels, increase the risk of malnutrition, lower living standards and increase poor health and the crime rate, among other challenges.

Kroukamp and Cloete (2018:62) suggest that in government, monitoring and evaluation is a control mechanism which should be understood within the context of the specific institutional characteristics and the dynamics of the environments in which they are functioning. Ntshakala and Nzimakwe (2017:73) confirm that monitoring and control mechanisms offer genuine information regarding the functioning of the organization in order to ensure adequate intervention in imbalanced areas. Ncgobo and Malefane (2017:78) concur, stating that in order to ensure that internal control mechanisms function reliably and produce anticipated results, these must be monitored constantly.

According to Levin (2017:139), participatory development evaluation is part of good governance, as it puts people first and provides an opportunity to find democratic solutions and development challenges. Based on the success of popular participation, there is a growing belief that effective planning is dependent on the capacity of citizens to participate in development implementation and evaluation. The value of people centred development evaluation methodologies (Hassenforder, 2015:33) is that effective state action is best facilitated by the evaluation of outcomes and impacts, which translate the learning experience of deliberative and engaged evaluation processes into strengthened participatory policy implementation. Clarence (2018:68) states that participatory development evaluation enhances engagement between peers, and inculcates a teamwork spirit, including learning from one another. According to OECD (2019:131), the efforts to strengthen the monitoring, evaluation, and feedback

frameworks have also involved the establishment of specialised monitoring and evaluation units in certain ministries and government bodies.

From the above discussion, it may be said that monitoring and evaluation units are necessary in organisations to strengthen a participatory approach in data collection and analysis for improved performance of government. The statements in Dewachter and Holvoet (2016:1) and Dlamini and Migiro (2016:376) imply that the monitoring and evaluation of outcomes, reflects areas for improvement of policies and programmes to maximise service delivery.

4.27 Approaches to monitoring and evaluation design in government

According to Uitto, Puri, and Van Den Berg (2017:331), each of the specific purposes has different requirements for M&E, which makes it possible to preselect approaches that meet those requirements. For instance, monitoring the integration of adaptation into planning processes does not require complex statistical analysis. Rather a qualitative or quantitative approach, focussing on the planning process and involving stakeholders, seems more suitable. It could take the form of interviews with key informants or of a set of indicators illustrating progress. The adaptation M&E navigator does not lead users to the one and only M&E approach, but rather directs them to a shortlist of relevant M&E approaches. The M&E approach depends on the most relevant circumstances for a given purpose. Tirivanhu, Olaleye, and Bester (2017:684) state that relying on quantitative indicators tends to canvas important qualitative data, giving a distorted image of performance. Wotela (2017:5) supports the view that qualitative research strategies are not generalizable, as compared to the quantitative, which in turn are generalised, but do not generate in-depth and rich data compared with those that employ a qualitative research strategy. Maleka (2017:4) agrees, stating that indicators can be either quantitative or qualitative.

According to Levin (2017:138), research on the emerging discipline of evaluation demonstrates that it has acquired all the characteristics of a distinct discipline. It has assembled a body of knowledge, a set of specialized skills, and a compendium of

ethical guidelines that must be mastered to do what evaluation peers will consider to be good work. The peer review mechanism is the standard that guides evaluation practice from country to country in view of the socio-political and cultural environments within which evaluators operate. Farham (2020:8) states that peer review is the evaluation of work by one or more people with similar competencies as the producers of the work. Boltman-Binkowski (2016:3) concurs, stating that nonetheless, guidelines developed by evaluation associations have much in common, such as the commitment to systematic inquiry and integrity, an abiding respect for diverse people and cultures, an eagerness to achieve results, and an unwavering public interest orientation. Nevertheless, the difference in opinion among those in evaluation professionally, remains wide and deep.

Lennie and Tacchi (2013:8) state that evaluation approaches are underpinned by interpretivist philosophy and a constructivist framework, in which evaluation is seen as leading to social action and positive change. A participatory approach to evaluation is an essential principle, which means developing partnerships between stakeholders to collaboratively design and systematically implement evaluation processes, develop tools, set indicators, and share concern, experiences and learnings. Gwata (2017:3) concurs that participatory mode focuses on the active engagement of all primary stakeholders. Wallerstein, Duran, Oetzel, and Minkler (2018:5) support the view that this type of participatory monitoring and evaluation enables local knowledge and culturally appropriate processes to be incorporated into evaluation processes, helping to create a clearer picture of what is happening at the grassroot level. Nzewi (2012:39) agrees, stating that practical participatory monitoring and evaluation is more attuned towards a pragmatic or rational application of evaluation processes and methods towards decision-making for organisations, programmes, and policies. In this case, the main objective is for organisational learning and change towards greater effectiveness and efficiency.

From the above, the standards for monitoring and evaluation are not cast in stone, but are flexible and subject to change. This view is consistent with the statement by Uitto, Puri, and Van Den Berg (2017:331) that the M&E approach depends on the most

relevant circumstances for a given purpose. This implies that monitoring and evaluation is not a one size fit all, but uses different approaches to unique circumstances as supported by Wotela (2017:5) and Maleka (2017:4). Further, various authors, as mentioned above, confirm that the M&E is a participatory and peer review process.

4.28 Monitoring and evaluation by the public service commission

Phago (2015:621) mentions that the Public Service Commission has sought to consider ways in which the South African public service could be professionalised to uphold best human resource practices. Dube and Tshelane (2017:814) concur that the Commission, in the performance of its monitoring and evaluation responsibility requires a militant approach, which is sometimes necessitated by a general lack of professionalism and discipline of employees. Madue, Tsolo, and Ramoabi (2014:881) affirm that the Commission may inspect government departments and other organisational components in the public service, and has access to official documents, or may obtain information from heads of those departments or organisational components, or from other officers of the department and organisational components.

On February 2016 the Public Service Commission (PSC), as the constitutional institution responsible for overseeing, by investigating, monitoring, and evaluating the organisation, administration and personnel practices, issued a report on the handling of disciplinary cases in the public service (Sisulu, 2013:392). The participants in the PSC study included ER managers, SMS and MMS members, and organised labour representatives to maintain objectivity and independence, impartiality, dignity, and effectiveness of the Commission (Pauw, 2009:97). The findings were that firstly, that there is an awareness of the existence and application of disciplinary codes and procedures on the handling of disciplinary cases for both employees on salary levels 1-12 and Chapter 7 of the SMS Handbook for senior managers at salary levels 13-16 (RSA, PSCBC, 2003:2). Secondly, the non-adherence to timeframes poses challenges to the full implementation of the disciplinary framework, which is attributed to various factors, including requests for postponements and delays by presiding officers to finalise and pronounce sanctions. Thirdly, the implementation of disciplinary codes and

procedures assists their departments in the handling and prompt finalisation of disciplinary cases, and has been applied fairly and consistently. However, the unions feel that discipline management is used as a tool to harshly deal with employees at low salary levels. Fourthly, the majority of disciplinary cases in the public service are finalised between 4 and 12 months. A significant number of disciplinary cases are resolved within at least 3 months, while a less, but still significant number of cases are finalised between 1 to 3 years. In the worst-case scenario, a few respondents from all categories indicated that certain number of cases take between 4 and 7 years or more to finalise them. Fifthly, the complexity of cases, especially those which involve senior managers, and the delay by investigators to gather documentary and oral evidence through witnesses. Sixthly, departments comply with internal appeal processes as prescribed in their respective disciplinary codes and procedures. According to these respondents, most departments have established a panel of senior managers to serve as an advisory authority on appeals lodged. Seventh, there is a general lack of will or commitment by management to implement some disciplinary sanctions. Eighth, the majority of participants maintain that discipline is consistently applied (PSC 2016:21-30).

4.29 Public service leadership

Tshiyoyo et al. (2018:115) state that security of employment has an effect on allegiance by public administrators to politics and objectivity in decision-making. The categories of administrative dichotomy determine the reactions of public service executives towards generated M&E performance information. The assumptions which exist are that public service managers are rational beings; however, they may try to avoid having to make choices or act according to the circumstances. Kanyamuna (2019:138) suggests that the role of political leadership in implementing results based on data from the M&E system is critical to advocate for a strong and consistent political leadership to champion and institute the system. The type of government determines the level of details provided by the M&E system. It is worth noting that forces within an institution or government are powerful to determine changes or produce negative energy against a positive change. The above shows causal factors that push and pull towards not only

reporting, but also the type and level of details of M&E information. Kgatle (2018:7) mentions that political leaders should lead by example. FitzGerald and Latib (2015:252) agree, stating that to some extent senior public servants are now largely conceptualised as institutional leaders in an epic struggle to transform an intractable institutional environment into sites of efficiency, customer-friendliness, and service delivery.

According to Daweti and Evans (2017:157), the establishment of the Senior Management Service (SMS) in the public service was in its intention a response to the challenge of developing managers into leaders and a quest to produce a leadership cadre for the public service. Paile (2019:464) states that as the leadership cadre of the public service, members of the SMS would be responsible for the transformation of the public service to deliver a globally competitive service to citizens. Globler and Flotman (2020:2) agree, stating that leadership orientation often determines the direction leaders take, and their ultimate destination.

Kimaro and Fourie (2017:2) state that M&E informs decision-making and determines resource allocation to ensure meaningful leadership. Bours, McGinn, and Pringle (2014:31) view monitoring as a continuous function that involves systematically collecting data on specified indicators to show the extent of progress or achievement by an institution, project, or programme. Bennett, James, and Klinkers (2017:29) suggest that evaluation is a systematic process or periodic assessment to measure the realisation of intended results, particularly regarding the relevance, efficiency, effectiveness, impact, and sustainability of an activity or intervention. Evaluation is also supposed to report performance results and determine information to be used in future decision-making processes. According to Hendrikz and Engelbrecht (2019:3), the focus of servant leadership is the leader's desire to serve others with the aim of seeing them grow into healthier, wiser, freer, more autonomous beings. The motivation behind this desire to serve lies in the leader's obedient gratitude towards a higher power. Meylahn and Masiyambiri (2017:2) mention that servant leadership regards the achievement of transcendent goals (e.g strategic organisational goals) as a natural long-term outflow of the short-term focus of assisting the follower in his or her self-development. They are

stewards of the organisation in that they provide direction; ensure that the organisation contributes positively to society and that followers are held accountable for the performance they can control. Grobler and Flotman (2020:2) agree, stating that servant leadership puts stewardship at the centre of leadership and recognises the responsibility to serve, particularly those marginalised by the organisational system, as the primary responsibility of the servant leader.

It may be deduced from the above discussion that good leadership has a significant impact on monitoring and evaluation, as the outcomes tend to impact on the image of an organisation. This view is consistent with the statement by Kgatle (2018:7) that the political leaders should lead by example. The outcomes of monitoring and evaluation influence decision-making by management as confirmed by (Kimaro and Fourie, 2017:2) and (Bennett, James, and Klinkers, 2017:29).

4.30 Conclusion

Policy design and implementation is core to the management of discipline in any organisation. The effectiveness is realised at various stages, which are political implementation, administrative executive implementation, and operational policy levels. This means that policies should be reviewed from time to time to remain relevant at these levels. Policy design is a necessary measure to provide guidance for effective implementation by state departments. To ensure uniformity of policy implementation, government adopts the modern mechanism of networking, coalitions, and information technology. This development requires that policy practitioners are trained and well equipped to conduct proper research in developing policies.

Policies are subjected to monitoring and evaluation from time to time. The M&E indicators serve as a yardstick for use by managers to ensure improvement. The system of monitoring and evaluation is prevalent in government. Monitoring and evaluation are a necessity for the prosperity of any organisation, and the public service in general. The literature confirms that monitoring and evaluation complement each other for integrated indicators.

CHAPTER 5: RESEARCH DESIGN AND METHODOLOGY

5.1 Introduction

The previous chapter discussed policy design and implementation, and monitoring and evaluation of discipline management. The steps leading to a successful scientific research study remains a major challenge to beginners in the field of research. The understanding of the basic principles become critical to all researchers and that is exactly what this chapter seeks to do. The success of any study is informed by the manner in which it is structured, and the preferred method used. This chapter explains the research design and methodology, which connects the dots of the research problem, research question and the hypothesis to the successful conclusion of the study. The historical background to the research is outlined in relation to the different paradigms which are relevant to the study. The ultimate objective is to collect reliable data using different research methods. The discussion confirms that data collection is not done haphazardly, but according to scientific sampling methods.

The target population constituted the personnel of the Department Public Service and Administration (DPSA) and organised labour. The study analysed the content information on the management of discipline. The other sources of data collection method which are discussed, include structured interviews, the questionnaire, and focused group discussions. An indication is made to the effect that the management of discipline is not an isolated phenomenon and research involves reports of other interested stakeholders like the Public Service Commission, Auditor General South Africa and the Department of Planning Monitoring and Evaluation. This background in essence provides the importance of documentation analysis as a narrative source data.

The chapter is compartmentalized into discussion topics, which brings to light the understanding of the research design and the different methods which are applied in collecting and analysing data. The topics are the rationale for empirical research,

research paradigms, research methods and design, elements of analysis, validity and reliability, ethical considerations, issues of dependability and trustworthiness.

5.2 Rationale for empirical research

Research is aimed at getting answers to questions by the application of scientific methods. The motive is to uncover facts which have not as yet been discovered. The objective of this study is to investigate the effectiveness of the public service disciplinary framework for the Department of Public Service and Administration. This is an exploratory or formative research study aimed to achieve this study objective. The main motivation for the research is to add value to society in the form of an effective public service disciplinary system (Kothari 2004:2).

5.3 Research paradigms

The perceptions are categorised and classified to suit specific situations at a given time. These perceptions are an influencing factor in the adoption of particular views and beliefs in society. Maree (2016:52) states that a paradigm is a set of assumptions, or what people believe about a critical element of reality that results in the adoption of a particular view. This is representative of what people think about the world but that cannot be proved. However, the inquirers findings cannot be made without making reference to those paradigms. Paradigms serve as the helicopter and road map for the interpretation of reality. According to Hennink, Hutter and Bailey (2011:11) paradigms are a mirror that allows people to reflect on their observations and improve on the lessons learned through understanding. These are guiding tools used by organizations for introspection. The two research paradigms discussed are the interpretive and positivist paradigms.

5.3.1 Interpretive paradigm

The applied interpretive paradigm is by means of interviews with the participants to share their practical experience and comprehension of the disciplinary framework (Rasemane, 2017:24). These research methods are used as a means of contextualising

and giving proper interpretation to the provisions of the disciplinary framework. According to Nyaunde (2018:163), interpretivists' stance is informed by the theoretical presumption that reality is socially grounded and fluid. The result is that there will be common agreement by society in the manner that the phenomenon is practiced, by depicting correctness in the application. Nyaunde (2018:167) states that the interpretive paradigm is based on both experience and interpretation. There are three things which inform the interpretative paradigm. These are ontology, epistemology, and axiology.

5.3.1.1 Ontology

Reality is one of the influencing factors of the research and its findings. According to Byrne (2017:2), ontology means the study of accountability. It is concerned with answering the question of what reality is in research. While ontology deals with philosophical questions of reality, epistemology deals with the question of how we understand reality (Schreiber, 2015:14). Coghlan and Brydon-Miller (2014) state that within analytical philosophy, ontology is a branch of metaphysics that aims to unbundle the construction of reality. The aim is to show how different positions regarding reality may inform action research.

5.3.1.2 Epistemology

According to Walliman (2011:19), epistemology is the theory of knowledge which is mainly concerned with how data is validated and which methods are used. It is concerned with how we know things and what can be regarded as acceptable knowledge in a discipline. It is about reliability on the strength of the mind and senses. Pernecky (2016:26) states that epistemology asks the following questions of what knowledge will be attained with our research: What characteristics knowledge has? How do observers perceive the outcome of that knowledge that is put before them? Why should the outcomes be taken seriously? Masaka (2016:3) considers epistemology as standards upon which others must be judged.

5.3.1.3 Axiology

Githinji (2016:64) states that axiology is the study of value which is concerned with aesthetics, the importance of ethical, moral rightness and social behaviour. The critical aspect which has proved to be of value is ethics. Axiology is about how people individually or collectively decide. It is critical to anyone making a value judgement within a universal context. It distinguishes between what kind of things are better than other kind of things (Crowe, 2018). According to Hart (1971:29-30), it is human behaviour to value things differently, which ultimately necessitates change. This is influenced by the attachment to different degrees of importance or value of various preferences. The common questions which arise are in relation to the common nature instilled by values, the status regarding the values, and the application of the scientific method of inquiry to value judgements (Seti, 2019:45).

5.3.2 Positivist paradigm

Hennink, Hutter & Bailey (2011:14) state that the positivist paradigm is the scientific approach to research, which is concerned with a quantitative method involving the measurement of facts. The measurement aspect eliminates the subjectivity of the research findings and deals with reality. The research is considered to be value free in that facts are separated from values. Positivism is an experimental approach, which is considered to be the centre for a social science research process (Romp, 2019:7). Positivism involves the formulation of a hypothesis by researchers from statistical models and theoretical concepts. After the formulation of the hypothesis, the operationalization and testing of the hypothesis by means of collecting empirical data takes place. The evaluation of whether the evidence supports the hypothesis constitutes the last process. Positivism is always criticised from separating the researcher from the research, and focuses entirely on the objectivity of the data (Green, 2019:129).

Leshoele (2019:24) suggests that the tradition of positivism can be traced back to the time of the Renaissance. The use of the word positivism frequently emphasizes an objectivist epistemology, which attempts to explain and predict the outcomes of the

social world by determining the relationships with constituent elements. In this instance, the investigation and the investigator are separated, so that there is an independent relationship. According to the National Academies of Sciences, Engineering, and Medicine (2019:34), the new knowledge accumulates as new verified hypothesis is added and falsified hypothesis eliminated, which can introduce variation in the results. The emphasis is on external reality with context free generalization. The common quantitative approaches applicable include surveys and controlled experiments. Whereas the positivist paradigm is quantitative by design, it may well be combined with the qualitative method. This combination manifests itself in different ways as indicated below (Su 2018:21):

- Firstly, a qualitative method expands the scope of the positivist approach, in that it explores emerging phenomenon and identifies new theory development opportunities.
- Secondly, the qualitative method extends the depth of the positivist approach by opening new avenues for further examination.
- Thirdly, qualitative methods enrich the context of the positivist research, which is embedded in historical change, contextual fields, and social processes, which cannot adequately be captured through the quantitative techniques.
- Lastly, positivist qualitative research can be readily integrated, for instance, using interviews.

According to Su (2018:21), in positivist qualitative research, the process consists of a variety of unstructured data sources. The data sources are observations, interviews, documents, and videos. Interviews consist of open and closed ended questions, whereas observations and videos capture actions, practices, and processes by participants at multiple levels (Gray, 2013:272). Documents include amongst others, written records, official publications and reports, correspondence, memorabilia and press releases (Parikka, 2012:134).

Maree (2016:52), Hutter and Bailey (2011:11) suggest that research paradigms in research provides guidance to ensure reality. This is consistent with Nyaunde (2018:163), who presupposes that reality is socially grounded and fluid.

5.4 Research methods and design

This section on research methods and design is focused theory in research design, research methodology, thematic analysis, semantic versus latent codes, research approach, data collection instruments, and source of data.

5.4.1 Theory in research design

Bartunek and Rynes (2014:1187) regard theory as the basis for the practices of knowledge construction and knowledge production. Theory provides an understanding of what is been investigated and provides an explanation of how social aspects work in reality. Design can be viewed as the collection, measurement, and analysis of data, and theory plays a critical role in coining research questions (Tracy, 2020:75). It further guides research development on the area under investigation. Research methodology is concerned with a particular research design. The nature of the study is both descriptive and exploratory, which provides a dense description of the phenomenon under investigation, and describes the current state of affairs by presenting the participants' real version (Van Der Walt 2017:187).

5.4.1.1 Planned vs emergent design

During the research process, activities are performed according to a plan; however, eventualities due to unforeseen circumstance become evident (Costandius and Perold 2014:38). The mixed method is planned in advance, but there may be emerging issues which warrant the revision of the plan. This is referred to as an "emergent" design, which is influenced by circumstance and the need for the researcher to reconsider strengthening the target component due to inadequacy (Galvaan, 2015:285). The emerging component will be added and defined in the design. Planning is therefore required, to accommodate for the unknown (Schoonenboom 2017:122).

The phenomenon of emergence is entrenched in the theory of continuity and change (Okon and Ojakorotu, 2018:237). This is complexity theory which emanates from chaos theory, and emphasises that the slightest degree of uncertainty may result in a major shift to a particular phenomenon (Steele, 2020:144). It is concerned with evolution, adaptation, survival and evolution. Further, it has to do with the environment, organisations, or systems, which are complex and interrelated and interdependent (Mason 2009:2).

5.4.1.2 Design analysis

The convergent parallel design approach will be applied in analysing the data. This approach implies that the research results of data collection are used in the analysis. This supplementary mixed research technique is critical for the validity and reliability of the hypothesis (Silinda, 2020:420). The convergent design applies where the quantitative and qualitative strands are used concurrently during implementation and interpretation of the research outcome. This happens, for instance, where judges base their decisions on related facts by the majority in a panel (Creswell & Clark, 2011:70-71). Gorard (2010:4) states that research design is about organizing the research from its inception to completion through evidence that ultimately produces the required results. Design disposes the opportunities and weaknesses of which the analysis assists with the achievement of the warranted conclusions. The elements of research design include the treatment or program to be evaluated, the data to be collected, groups and subgroups of interest, the allocation of cases to groups, and what happens over time. All stages in research can be said to involve elements of design (Creswell and Poth, 2018:155).

5.4.2 Research methodology

Theories relating to governance and/ or public administrative issues are a manifestation of social sciences. Table 5.1 demonstrates theories of governance, which is the core theory of Public Administration relating to this study (Van Der Walt 2017:187). The

government and governance aims to achieve effectiveness and efficiency, in relation to the study, means service delivery through a disciplined workforce.

Table 5.1: Core Public Administration research theory of this study

Unit of analysis/focus of study	Meta-approach/ issues	key	Grand and substantive theories
Theme: Government and governance			
Goodness of governance	Effectiveness and efficiency	and	Theories of Governance

Source: (Van Der Walt 2017:191-193)

Research methodology is a manner of using a particular system to solve the problem (Craig, 2016:60). It is beyond the research method in that it provides the rationale for following a particular approach and method and why not others (De Jager, Muller and Roodt, 2014:7). It explains the rationale behind the study, the manner of identifying the underlying challenge, hypothesis, and data, and the motive for using the selected method of analysis (Kothari 2004:8).

Schumacker (2015:2) states that research is conducted using particular methods. The quantitative approach uses numbers, statistics, and conclusions drawn from the parameters of the population. This method can further be broken down into experimental and correlation methods. According to Rajak, Raj, Guria and Pathak (2017:138), the experimental method is about the manipulation of one or more independent variables in a scientific study to determine the cause and effect outcome. Lisoyi and Naidoo (2020:55) state that the correlation methods involve the measurement of the association, prediction, or explanation of the variation between variables, which is commonly known as inferential statistics. Sanchez Margallo, Wise, Rodseth, Correa-Martin, Castellanos and Malbrain (2017:16) agree, stating that the experimental and correlation methods differ in their basic approach to research. Experimental methods use samples, which are small settings that are randomly selected by control groups. A correlation type uses larger samples of randomly selected

data taken from a larger population, and measures of association are used to infer relations amongst variables. El Sherbini, Ghinolfi, Radwan, Botros, El-Defrawy, Desimone, Stefani, and Filliponi (2014:39) confirm that the essentials for conducting research are population, sampling, and analysis.

According to Maree (2016:50), research takes a multipronged approach; however, it must be informed by philosophical, methodological, and technical criteria in order to be regarded as scientific. There are two factors which influence the researcher and the methods used in research, and more particularly with regard to the qualitative method. The first factor is ontology, where researchers maintain their stance on the social world and that which they are predisposed to, including that which should be known about it. Epistemology is the second factor, and is concerned about the kind of knowledge to research, and also how it can be accumulated. Lawrence and Tar (2013:30) state that methods are a researcher's tools for data collection and analysis. The motive behind the collection of data is to determine social reality on a number of factors, including individuals, groups, artefacts, and texts. Projects use different methods, including interviews, observations, or the collection of textual or visual data (Wiepking and De Wit, 2020:97). The methods used for this research project include interviews, a questionnaire, and a case study. The following discussion looks at qualitative research, quantitative research, and mixed methods research.

5.4.2.1 Qualitative research

According to Willig & Rogers (2017:8), this form of research is viewed as the preparatory or exploratory phase in the project management philosophy. It is a means of comprehensively reviewing the topic and the field of study, including the processes involved. The qualitative dataset is critical in that its use informs the researcher's conclusions. Flick (2018:4) states that qualitative research intends to understand, describe, and explain the social phenomenon from the inside in various ways. Firstly, the experiences are analyzed. The experiences may relate to biological life, or to everyday or professional practices in which knowledge, accounts and stories may be analyzed. Secondly, interactions and communications are analyzed. Thirdly,

documentation or any related repository is analyzed. What becomes important is to note how people perceive the world, including their activities and their contributions in improving the current situation. Ahmad, Siddique, and Arshad (2020:55) suggest that interaction is key to embracing social processes in a collaborative or conflicting manner.

5.4.2.1.1 Aims of qualitative data collection

According to Flick (2018:6), the collection of qualitative data is mainly aimed at providing material for the analysis of the research topic that is being studied. The researchers turn the phenomenon to what must be focused on, based on the decisions which they take. Firstly, researchers must decide on something that is of interest and relevance to the study. Secondly, they need to decide which aspect of the problem or process will be focused on. This means adopting a perspective of the phenomenon, and formulating a research question to answer. Thirdly, researchers need to decide on the methodological approach to be followed. Molepo (2016:122) suggests that the data is selected, formatted, conceived, and processed on the basis of research interests and approaches.

5.4.2.1.2 Collecting qualitative data: a realistic approach

This is a qualitative form of data collection, which will discuss realism, including research subjectivity and research relationships.

5.4.2.1.2.1 What is realism

According to Flick (2018:2-3), the question of what realism is, is linked to the work of philosopher Roy Bhaskar and referred to as critical realism. A key feature for critical realism is ontological realism, which is the belief in an independent real world of perceptions and constructions, and epistemological constructivism, which is about our comprehension of the world as inevitably our own construction. In terms of this, there cannot be a perception or understanding of reality that is not mediated by our conceptual lens. Eybers (2018:266) suggests that all observation is theory driven, and

that an understanding of the world by people is preconceived by perceptions and ideas they maintain. Most people accept realism in our everyday life. When cars break down people think that there is real problem, which the mechanic will identify and repair. Erasmus (2018:6) relates realism to most people who believe that global warming is an independent phenomenon which occurs away from our beliefs. Mhlongo (2018:72) implies that a realistic ontology is associated with qualitative research. According to Trotter (2018:4), a constructivist epistemology rules out the possibility of any direct or objective perception of reality.

O'Reilly (2009:3) states that realism is about the belief that the existence of things in society are independent from our thoughts and perceptions of them. Robson and McCartan (2016:3) suggest that this means there is a real world outside of the ideas we have about it. Abrahams and Witbooi (2016:16) imply that there are attempts to reconcile realism with various forms of interpretivism and relativism, all which accept that whilst the world is perceived from a certain viewpoint, it may respond differently.

5.4.2.1.2.2 Researcher subjectivity

According to Flick (2018:8), subjectivity is derived from logical positivism, which is bias that needs to be eliminated at all costs, in the interest of objectivity. This perspective requires the researcher to take cognisance of beliefs, dispositions, and values that are brought to the study. This can be regarded as a remedy for poor comprehension. Meintjes-Van Der Walt and Olaborede (2019:340) state that the truth in the traditional view of subjective bias is that the researcher's personal beliefs, motives, and theories add critical challenges for the validity in relation to the conclusions. If the decisions and analysis are self-serving, without careful consideration, it stands to produce inappropriate conclusions and a flawed study. Moyo (2017:292) agrees, stating that the issue for data collection is to become vigilant against bias and the consequences. Researchers must follow an objective approach.

Church (2010:5) cites the three forms of method bias as instruments of bias, sample bias, and administration bias. Ibrahim (2017:4) states that item bias, or differential item

functioning, occurs when individuals with the same level or amount of a trait which are from different cultural groups exhibit a different probability of answering the item in the keyed direction. According to Steyn and De Bruin (2020:3), the opposite of bias is equivalence or invariance. Conceptual equivalence excludes construct bias, and involves conceptual definitions, which overlap in construct across cultures.

5.4.2.1.2.3 Research relationship

Flick (2018:7) states that a relationship needs to be established between the researcher and the participants in order to source data. Dyll and Tomaselli (2016:5) suggest that the other major partners with whom the researcher should establish a relationship include gatekeepers and other influential persons who may control or facilitate access to the settings or participants. According to Chinyamurindi (201:8), there must be constant interactions between the researchers and participants and other people in the setting which is been studied. Button (2020:2) agrees, stating that there must be an understanding of how people in this world influence and are influenced. This mutual influence allows for success in data collection for research purpose, and against a potential validity threat in relation to the conclusions. Creswell and Poth (2018:47) affirm that the researcher is the instrument in qualitative research, and has instruments in the case of quantitative research.

5.4.2.1.3 Narrative Inquiry

Willig and Rogers (2017:2) state that narrative is the basic form that converts the human experience into meaningfulness. According to Willig and Rogers (2017:10-14), it involves narrative thinking where people make sense of their being in the world by sharing with others. McMahon, Watson, and Zietsman (2018:2) state that in research, narrative inquiry takes the form of unstructured or semi-structured interviews. The purpose is to determine how respondents order the flow in sharing their life experience. Narrative does not necessarily mean following the basic set of rules, as there is a data collection methodology called the narrative interview.

According to Mai (2017:5), the narrative researcher can use the narrative data to focus on the experience of the narrators. The two types of narratives are to either research with narrative or research on narrative. Research with narrative employs ethnographic means and content based analysis to deduce understanding of the shared experiences of the narrators. Onwukwe (2020:1) states that the research on a narrative plot is focused more on how narratives are constructed using various narrative devices. The respondents in this study were given ample time to offer a narrative on the disciplinary framework and its effectiveness based on their experiences.

5.4.2.2 Quantitative Research

According to Allen (2017:2), quantitative research is aimed at generating and creating knowledge about the world of social science. It is used as a tool of observing that which affects individuals and occurs around people. It is used by social scientists who are concerned with the study of people. Sambumbu, Mambila, and Monyai (2018:108) affirm that this method is about learning from a target which is known as a sample population. This method relies on data suited to the sample population. The results affirm the outcome in relation to the sampled population.

5.4.2.2.1 *Population*

This section discusses the research population, sampling (probability and non-probability), and research setting and unit of analysis.

5.4.2.2.1.1 *Population and sampling*

A population is a collection of elements about which an intention on inference is to be made. It is important for the researcher to have an understanding of the elements before the sample can be collected (Agbo, Englama and Philip-Ogoh, 2014:393). This is required for the inclusion of a description of the elements and specified measurements to show the correlation between the two components (Shimelis, Shamuyarira, Mathew and Tsilo, 2019:367). A sampling of the desired target population may not always be

possible, and the researcher might be required to collect additional information in order to provide sufficient responses to questions (Scheaffer 2012:8).

According to Kothari (2004:153), populations refer to the overall representation of items from which sampling information is required. The attributes of the study are the characteristics and elementary units that are geared to processing them. Matchaya, Nhemachema, and Nhlengethwa (2018:2) suggest that an aggregate is described to have an effect on a population. The population in this study is the public service community, including its social partners in the form of unions.

The population for this study was the DPSA staff, including managers, and sampling was categorised to ensure control of the data collection process. Participants responded to the questionnaire and to personal interviews. The population is clarified and given its proper context by means of the discussion below. These are: (a) the target population, and (b) the nature of the population.

(a) Target population

According to Daniel (2012:9), there should be a clearly identified population with the criteria that is inclusive and exclusive for participation in the study. This is done by means of an indication for the inclusion of elements in the target population. Daniel (2015:4) describes the set of elements that are considered for the findings of a research study as the target population. The target population and sample of respondents used in the study consisted of the following:

- (i) 109 respondents were staff from across all levels, from level 1 to level 15. These were respondents to the questionnaire.
- (ii) 12 senior managers were interviewed, which are 3x Deputy Directors (DDs), 3x Directors (Ds), 3x Chief Directors (CDs) and 3x Deputy Directors General (DDGs). The sample was selected randomly.

The reason for targeting these populations is that they are sufficiently representative for determining the scientific research findings. The Code is the toolkit for employee discipline management. Senior managers manage this function (RSA, PSCBC, 2003:2).

These respondents were appropriate and made a meaningful contribution to the successful completion of this research. The DPSA determines discipline management norms and standards for the public service (RSA, PSA 1994:13).

(b) Nature of the population

According to Daniel (2012:9), before making a sampling choice, it is critical to firstly understand the target population. The various elements are considered, including the size, accessibility, content, heterogeneity/homogeneity, distribution, spatial and destructibility. The element considered for this research study is people. Lyet, Slabbert, Versfeld, Leslie, Beytell, and Du Preez (2016:74) imply that the estimate of total population size should be known, hence the sampling choices. The dataset is centralized in one department and resources required to collect data were minimal. The population is homogeneous and concentrated in the same place, hence it requires smaller samples and makes accessibility simple (Muller and Bourne, 2018:142).

5.4.2.2.1.2 *Sampling*

Sampling refers to the manner or technique of selecting and using a smaller group within a defined population for the purposes of gaining insight into a larger group (Brynard *et al.* 2014:56). According to (Clow & James 2014:3), the process of choosing a group of individuals to survey is known as sampling. Sampling may also involve objects, and is not limited to people. The sampling areas under discussion are the sampling size, sampling error, sampling strategies, non-response, and sampling methods.

(a) Sampling size

The objective of this study is to provide an explanation of the research problem and question which will be clarified in detail through data analysis. According to Daniels (2012:237), if a research study has an explanatory objective, and/or has a low level of importance, consideration must be made for the use of a small size rather than a larger

sample size. This assumption is further influenced by avoiding conclusive analysis, hence the use of a small sample, which was regarded as sufficient (Daniels 2012:237). Bryman (2016:140) states that what matters most becomes the absolute size instead of the relative size of a sample. This means that the precision or accuracy of a sample is increased by the size of a sample.

The sample size comprises 109 participants from a study population of an approximately 424 DPSA staff establishment. This implies that the sample comprised 25% of the population. Various factors were considered in determining this sample, including the study objective, ethical considerations, nature of the population, availability of resources to successfully conduct the study, and data analysis design (Daniels 2012:238). According to Willig and Rogers (2017:8), the flexibility of thematic analysis (TA) implies that it is capable of analyzing a wide range of data types. Nojavan, Salehi, and Omidvar (2018:2) confirm that thematic analysis can be used to analyze face-to-face data that is collected from groups and interviews. An important facet of data collection is the quality of data. Sample size is a contentious and debated topic in qualitative research.

Daniel (2012:2-3) states that the choice of sample size is an important decision to make. It is critical to select relevant factors; however, time and money should not be wasted on too large a sample size, nor should the researcher fail to meet the research objectives because of a too small sample size. The researcher should decide whether to use a sequential approach or a fixed approach. A fixed approach will use a determined sample size target before commencing with the data collection (Loubser, 2015:3). Using a sequential approach instead of preselecting a specific sample size target means that one would preselect a set of decision rules or stopping rules to determine when sampling should stop (Makanjee, Bergh and Hoffmann (2015:12). According to Malindisa and Winterdyk (2015:45), an exploratory, or low importance study uses the standardized small size data collection protocol, whilst a research study involving a description of a population, a prediction, an evaluation, or an explanation may consider using a larger sample size. A study involving business decisions that are

critical or scientific, and require major precision, uses a more rigorous research design and a large sample size. Generally, the more important the study, the larger the sample size required to meet the objectives (Fusch and Ness, 2015:1408).

(b) Sampling error

Evarist (2018:169) states that the success of research is determined by the sample size in a population. The sample should be manageable; however, the bigger sample is a recipe for minor errors in research. According to Scheaffer (2012:18), different types of errors may occur in the sample survey, ranging from the selective measurement of a population, to incorrect and incomplete data. Survey errors are divided into errors of non-observation, where the target population is constituted of the sampled elements, and errors of observation, where the collected data does not give a true reflection of circumstances. Errors of non-observation may be attributed to non-response and biased coverage, whereas errors of observation can be attributed to the respondents, the interviewer or the method used to collect data. Bryman (2016:140) states that a large sample does not guarantee accuracy, but the larger the size of the sample, the greater the likelihood is of the accuracy of the sample. This implies that as the sample size increase, the sampling error decreases.

(c) Sampling Strategies

According to Daniel (2012:31-32), one of the options to minimize under coverage bias is by utilizing dual sampling frames or multiple sampling frames. The bias on multiple-coverage may be minimized by thoroughly cross-checking and cleaning of the sample frame (Jung and Nam, 2018:1). The random sampling of managers within the target population served as a dual-frame sampling design to compensate for the under coverage (Dowling, Youssef, Jackson, Pennay, Francis, Pennay and Lubman, 2015:421).

The interviewees in this study constituted 12 managers from the four management categories from various branches and units and ensured representivity through random selection. The option of a dual sampling frame was also applied by substituting the non-available respondents with willing participants and avoiding bias in the process (Dowling *et al.*, 2015:421). Non-response bias is described as bias on grounds of systematic study variables (Cockeran and Swanepoel, 2016:125). These variables are between study participants and non-participants who were selected (Matiwane and Terblanche, 2015:99). The procedures which were used in this study to minimize mistakes, and avoid bias, was firstly through extending the data collection period to allow more time to contact study elements, secondly, through contact and individual feedback reminders, and thirdly by substituting non-respondents with other elements of the population (Daniel 2012:42).

(d) No response

Sampling was extended randomly to other DPSA managers to cover for non-response. The sampling cut across all levels to ensure consistency and credibility (Nyamakanga, Viljoen and Ford, 2019:3). According to Bryman (2016:141-142), no response is where the targeted population does not respond because of a lack of interest or for any other reason. Igundunasse (2016:55) suggests that the remedy for non-response is to increase the target sampling population in order to meet the acceptable sampling size. It has been discovered that where senior managers are involved in the sampling, participation tends to be low. However, the research findings which are derived from the relatively low response should not be automatically dismissed. Vehovar *et al.* (2016:12) state that base weights are used to compensate for the inclusion probabilities. Specific non-response weights are applied to reduce bias. This is the difference between the estimate and the true value resulting from non-response. The so-called population weighting is usually used to correct for any discrepancies in available auxiliary variables. The effective weighting needs to be correlated with target variables (Sigudu, Du Preez and Retief, 2014:308).

(e) Sampling methods

Each staff member and manager stood an equal opportunity to participate in the study. Rutaremarara (2018:49) suggests that equal participation allows for a balanced analysis and findings. Daniels (2012:6) states that as soon as the decision has been taken on sampling, a choice has to be made on the use of sampling method between the two types, which are probability and non-probability sampling. Mudau (2018:260) define non-probability sampling as a procedure that provides minimal chances of selection in the population for some of the elements.

According to Daniels (2012:126), probability sampling is defined as a procedure of sampling that affords a possibility of inclusion to every element in the research population. All probability samples are modelled into random sample within a targeted population, and identify a targeted sampling element (Hugo 2018:114). Bryman (2016:138) states that probability sampling is critical for survey research in that it allows for inferences to be drawn in making and generalizing the findings.

5.4.2.2.1.2.1 Probability sampling

According to Vehovar, Toepoel, & Steinmetz (2016:2), the theory of sampling is in relation to the provision of opportunities for inclusion of all units in the population. For example, the lottery randomization is the norm where inclusion is based on probabilities. Clow & James (2014:8) state that every member in a given target population stands a chance and a non-zero chance of being selected. There may not be equal probability for the selection of each member, however the probability for each member is known. According to Kruger and Yadavalli (2016:5), the probability is determined by the process used for sampling in decision-making. The three types relevant for discussion in this study were simple random sample, systematic sample, and multi-stage cluster sample.

(i) Simple random sample

Bryman (2016:143) affirms that this form of sample promotes equal opportunity for all units of the population to be sampled. The advantage is firstly that there is no element of human biasness where the selection of participants is mechanical. Secondly, the process is not dependent on the availability of participants. The process of selection is done without the participants' knowledge, they become aware of their inclusion at the time the interviewer contacts them to participate in the questionnaire. According to Eckman & West (2016:2-3), the simple random sample provides a frame of reference for complex sample designs. It is concerned with the unit of analysis for the population and an equal probability sample is selected. Only one sample is selected from among many other samples from which a selection could have been made, and each one would give an estimate of the mean. Alence (2019:3) implies that the horizontal axis is the estimated mean from each sample, whilst the vertical axis is the frequency of each mean. Most simple random samples give estimates that are near the true population mean. Swanepoel and Santana (2018:84) agree, stating that there would; however, be some samples on the left and right ends of the distribution where the sample mean is far from the population mean.

(ii) Systematic sample

This is a form of sampling which involves the sampling frame from where the units are directly selected. This follows a particular pattern in selecting the units for participating in the survey (Bryman 2016:135). According to Frey (2018:2), systematic sampling, known as interval sampling, is the probability technique that selects population elements at fixed intervals. There must be a list of elements of all in the population to select from, for instance, in a school setting by means of selecting every tenth student entering the classroom. It is the reason that it is also called a flow sample (Burin, Roberts-Lombard and Klopper, 2015:74).

(iii) Multi-stage cluster sampling

The sampled population was located in the same the department, which did not involve traveling by the interviewer. However, with cluster sampling the primary sampling unit is the groupings of the population and not the general population unit. These groupings are referred to as clusters. Cluster sampling is done in multi stages, which will be cluster first and followed by other things. Cluster sampling involves stratification (Bryman 2016: 136-138). According to Eckman & West (2016:7), cluster sampling often reduces the costs of data collection. It is concerned about many in-persons who are clustered together. The downside to cluster samples is that the variance of the sample mean is often larger than it is with a simple random sample. When selecting samples to represent the entire population of a country, it is the case that some clusters are more important than others are. Walton, Bowman, and Osman (2015:264) imply that some countries have larger populations than others, and can therefore not be given the same probability of selection, as would be the case with a simple random sampling. Ramma and Sebothoma (2016:2) agree, stating that better selection methods give higher probabilities of selection to larger clusters, and this method is referred to as probability proportional to size (PPS) sampling.

This study sampling population classified units into ranks of participants' staff and managers. It entailed the sampling of staff members and managers.

5.4.2.2.1.2.2 *Non-probability sampling*

According to Baloyi and Geyer (2019:13971), nonprobability sampling does not determine the participants, but rather is dependent on whoever might be available at the time of conducting the survey. Those that are available at the moment constitute a sample for a particular population. Vehovar *et al.* (2016:2) refers to a sample as a smaller portion of the population, and in research, the units are surveyed from the sample in order to know more about the whole population. Unlike randomization, which allows a probability of sampling to all units, this is arbitrary or purposive sample selection. According to Clow & James (2014:9), the probability of a person being

selected is not known and cannot be determined. Judgement of the non-probability samples was purely on the discretion of the researcher. The three main types of non-probability sampling which were relevant for discussion for purposes of this study include convenience, snowball, and quota samples.

(i) Convenience sampling

Kruger (2016:168) suggests that this is the sample which was used by the researcher by virtue of its availability at the time. It becomes difficult to generalize the findings in that the sampled grouping is not representative of a particular population (Bryman 2016: 143). According to Lewis-Beck, Bryman & Futing Liao (2004:2) it is the sampling that is all-inclusive and for qualified participants. A convenience sample may be used at the initial stage of the sampling process, and it is used where participants are on a small scale. In this study, the number of people who involved and who understand the disciplinary process was limited, hence the selection of the participants who are directly involved.

(ii) Snowball sampling

According to Bryman (2016:144-145), this is a form of convenience sample where the researcher used a relevant group for the research topic, which enabled the establishment of further contacts. The challenge is often less representative of the population. It is not utilised in qualitative research but is more suitable in quantitative research. Snowball sampling is relevant in qualitative research where the researcher is focused on, or reflects on relationships between people that can be traced back. Bindah (2019:4) states that generally this sampling method is used to locate subjects that are difficult to find. This study had identified a particular category of respondents within the population who are conversant with the research topic. The managers were participants by virtue of their responsibility for effectively managing discipline at the workplace. The selected categories of the population were therefore deemed as suitable participants to do snowball sampling (Smit and Zikhali, 2018:10838).

(iii) Quota sampling

Bryman (2016: 145-146) states that quota sampling reflects the representative population with regard to relative proportions in different categories of all people, such as age groups, gender, socio-economic groups, religion etc. Unlike random sampling, the selection of people was done by the researcher once the number of the people and the categories to be interviewed (known as quotas or quota controls) were decided upon. The interviewer selected people who fit these categories. Compared to the random sample, the quota sample often results in biases. According to Daniel (2012: 20), it is a non-probability sampling manner of subdividing the population into smaller categories. The interviewers and other data collectors convince potential participants of the smaller units to take part and ensure that the target number is met. Williams and Mackay (2020:43) affirm that quota sampling is the combination of availability and purposive sampling, by targeting particular numbers of elements with common characteristics. The researcher provides a specific number to data collectors that fits certain criteria or quota controls. Igundunasse (2016:55) agrees, stating that availability sampling is then used by the data collectors for the selection of elements where quota controls are satisfied.

5.4.2.2.1.3 Research setting and unit of analysis

This is a homogeneous based sampling population based on occupations and structure membership. It is not a heterogeneous population sampling which involves the broader public service or the sector, but departmentally orientated (Bryman 2016:143). According to Vogt (2005:2), the unit of analysis are the persons or things which are being studied. In social or behavioural science, the units of analysis are often individual persons, but may be groups, newspaper editorials, political parties, unions, hospitals, monkeys, schools, rats, reaction times, perceptions, and so on. According to Letsoalo, Maoto, Masha, and Lesaoana (2016:7510), a particular unit of analysis from which data is collected is referred to as a case.

DPSA is the custodian of norms and standards for managing discipline in the public service (RSA, PSA, 1994:13). The randomly selected managers were the respondents in this population. The targeted sample unit of analysis was 12 respondents consisting of an equal number of Deputy Directors, Directors, Chief Directors, and Deputy Directors General. A total of 109 participants consisting of staff members responded to the questionnaire.

5.4.2.3 Mixed Methods

Gorard (2010:2) states that the term mixed methods refers to the combination used in social science research of evidence for qualitative and quantitative techniques. According to Allen *et al.* (2017:16) mixed methods means the use in the single study of qualitative and quantitative techniques to collect data, analyze, integrate the findings and drawing inferences. This research study used the qualitative method and collaborated with the quantitative method. The complementary methods bring about comprehensive research outcomes, which pass the scientific test. The mixed method is representative by design and allows for access to a large audience involving interviews and questionnaire (Omohude and Chen, 2017:368).

5.4.2.3.1 Triangulation

According to Flick (2018:11-12), it is beneficial to collect information using a variety of sources and methods. This limits the risk of conclusions being biased to a specific source or method, and allows for a broader understanding of issues under investigation. This strategy is referred to as triangulation. Flick (2007:2) states that triangulation takes place in qualitative research. The linkage between quality of qualitative research and triangulation is that the researcher extends the research activities beyond what is done by using more than one method. This is done to strengthen grounding results by combining qualitative research with quantitative approaches (Petrovic, Koprivica and Bokan, 2017:184).

The primary research data is collected through questionnaires and interviews (MacMahon, Watson and Zietsman, 2018:1). Secondary data from available documentation and information was used to complement the findings and ensure objective conclusions (Yalew, 2019:1).

5.4.2.3.1.1 Interviews

According to Maree (2016:92-93), interviews are a two-way means of communication involving questions by the interviewer, and responses by the participant, resulting in the learning exercise of beliefs, ideas, opinions, views and behaviours of the participant. This is to gain the honest views of the participant, which becomes possible through trust bestowed by the interviewer (Habib, 2019:11). Participants share knowledge and rich descriptive data, which establishes reality (Pillay and Makiwane-Mazinyo, 2017:10462).

Walliman (2011:99) states that surveys have a limitation in terms of a lack of flexibility on the responses. Interviews are appropriate for questions that require responses to obtain adequate information. Types of interviews include structured interviews which use standardized questions and are read out by the interviewer, unstructured interviews that use a flexible format where the participant is given the space to ramble around and without closed format questions, and lastly, the semi-structured interviews, which contain structured and unstructured sections with standardized questions which are open. According to Bindah (2019:5), semi-structured interviews allow for both the guided questions to be asked and the interviewer to structure questions from the answers provided by the respondents. This approach to interviewing allows for flexibility and the closing of any gaps when consolidating and analyzing the findings. The nature of this study allows for exploration and explanation, where participants air their views and share experiences on the research topic (Nemutandani, Hendricks and Mulaudzi, 2018:4).

This study involved virtual interviews with randomly selected participants from various departmental branches and service delivery units (Zulu, 2019:201). This method provided an opportunity to receive first-hand information from the participants and

allowed for follow-up questions. In order to ensure consistency, the same set of questions were posed to the participants. The interviews provided the participants with an opportunity to respond freely since they were afforded sufficient time to interact (Masseloux, Epps, Duarte, Schwalm and Wykstra, 2018:1). The interviews were recorded and transcriptions used for analysis. This method suited the research study under the Covid-19 conditions which discourage physical and face-to-face contact with the participants (Lavras 2008:5).

5.4.2.3.1.2 Questionnaire

According to Walliman (2011:97), asking questions is a manner of collecting data from people, and is both convenient for both quantitative and qualitative research methods. This method of information gathering is normally referred to as a survey. The questions in this study were structured in such a manner that responses were received from participants without talking to them. This is a flexible method that is cheap and user friendly to manage. The three methods of delivering questionnaires include personally, post or internet. Bourque and Fielder (2003:5-7) state that self-administered questionnaires are instruments that are used to collect information of which the instrument is completed by themselves. Thus, instruments are not used exclusively for research purposes, but may be used for a wide variety of issues and purposes. Ehlers, Lessing, and Theledi (2016:756) state that either the questionnaire may be completed in the presence of supervisory personnel, or respondents may complete it without any form of supervision. The unsupervised questionnaires are referred to as the mail questionnaire and are frequently used. The advantage of self-administered questionnaires is cost effectiveness as opposed to in-person and telephone interviews (Ale and Braimoh, 2017:72).

Olivier (2016:34) suggests that respondents respond to an open-ended structured questionnaire whereupon a Strength Weakness Opportunities and Threats (SWOT) analysis is undertaken. This method determines the common understanding of events on the management of discipline in the public service, and in particular DPSA, and

seeks to modify the practice (RSA, PSCBC 2003:2). The questionnaire is structured to cover different facets of discipline management, namely the framework, capacity building to enhance performance, information management system, and managerial responsibilities (Kotecha 2016:7).

According to Kotecha (2016:7), the questionnaire ensures a meaningful data collection process and avoids bias. The numbered and coded questionnaires were distributed to all staff members and managers as the sample population. Questionnaires were coordinated through the Director: Human Resource Management. Malherbe, Cook, and Mustak (2019:16) confirm that individual reminders and individual follow-ups are done for all outstanding responses in order to ensure full participation. Matthias (2015:291) states that personal details of participants are kept anonymous. A month was allocated for data collection.

5.4.2.3.1.3 Case study

The DPSA is the public service custodian of norms and standards for conditions of service and human resource practices. Like all other departments, it ensures implementation and reporting on the internal management of disciplinary cases. It is an implementing, monitoring, and evaluating agent of government (RSA PSA, 1994:13). Yin (2014:16) states that a case study is an investigation of a contemporary phenomenon through empirical enquiry which is in-depth and within its real-world context. It happens especially when there are no clear boundaries between phenomenon and context. According to Maree (2016:81), the case study is a phenomenon which occurs in a bounded situation or environment and within a particular context. The case is therefore regarded as the bounded entity which may include a person, organisation, event, behavioural condition, or other social phenomenon. According to Yin (2014:12), the unique feature of case studies from conventional historical studies is that they take into account a variety of full evidence in the form of documents, artefacts, interviews, and observations.

Venter (2015:173) affirms that the case study is about examining the dynamics within different groups other than individuals. Departmental cases were considered in this instance instead of single individual cases. Ncube and Taigbenu (2019:174) support this view, stating that the practice is to use a comparative approach of characteristics by means of comparison of selecting several very different ones. Results from different groups may be used instead of making a generalization about all the groups (Walliman 2011:93).

Edwards (2017:463) suggests that like any other research, the case study supplements the strengths and weaknesses of other techniques. The aim is to explain the fluctuation in the finalisation of cases which should be traced over time instead of frequencies or incidence (Yin 2014:10). According to Maree (2016:81), a case may be bound by means of time and place, time and activity, and lastly by definition and context.

5.4.2.3.2 Focus group discussions

According to Hennink, Hutter & Bailey (2011:135), focus group discussions are comprised of six to eight pre-selected participants who focus on a particular issue. The aim is to get their views in an environment which is conducive to participants expressing themselves. In other words, where the *focus* is on a specific issue, a group of people is singled out and an interactive discussion is conducted that is facilitated by the moderator. Kugara, Matshidze, and Mawere (2020:174) confirm this, stating that, as is the case with other qualitative research methods; focus group discussion can be used for explanatory, exploratory, or evaluative research, as well as for policy orientated research. Liamputtong (2011:3) states that this methodology allows complex information to be generated at less cost and time. It can further be used at different settings with a range of people and groups. It uses collective power to express views on those who are marginalized and who cannot express themselves individually. The moderators are the core and pillars for the success of the focus group discussion.

Hennink, Hutter & Bailey (2011:138) state that focus group discussions are not ideal for the collection of individual level information, as participants respond collectively.

Sensitive information is shared which may not have objective outcomes in a group set up. Nachivula and Munsaka (2015:72) observe that confidentiality in the group discussion may not compromise the personal experiences of participants. The aim of the focus group discussion (Liamputtong 2011:3) is to comprehend the meanings and interpretations of participants. The disciplinary framework for the public service requires common interpretation and application. Nonetheless this study did not use the focus group approach and analysis.

5.4.2.3.2.1 Homogeneity among participants

Hennink, Hutter & Bailey (2011:150) state that focus group discussions should comprise of participants with characteristics of relatively homogeneous socio-demographic background, or of a discussion topic with some degree of shared experience. The advantage of group homogeneity is that participants share freely as they belong together and share common interests by virtue of their peer status. Du Plooy (2019:1) confirms this, stating that the common way of achieving group homogeneity is through segmenting by means of age and gender, women of the same age together, and men of the same age together in a group. Segmentation can also be done through grouping in terms of experience and knowledge of a particular topic. Participants with similar experience can foster a stronger sense of identity with other group members and form a dynamic discussion. According to Steward, Shamdasani and Rook (2011:3-4), the relationships that exist between demographic factors and group dynamics like sex, age, income, education, religion, and race may be difficult to isolate. It is a known factor for instance, that group behaviour is influenced by age differences. In a group men and women behave differently, research in personality on sex differences have found that women are less aggressive than men are. Group pressure has a greater influence on women than on men, whereas women are able to interpret emotions and are more sensitive than men are. Men are less anxious than women are, whereas women are less confident about their abilities than men are.

5.4.2.3.2.2 *Importance of group interaction*

Hennink, Hutter & Bailey (2011:158-159) state that the focus group discussion is a form of interview known as a non-directive interview, which is dynamic in nature for participants. Nachivula and Munsaka (2015:71) confirm that the benefit of this approach is that group members have an opportunity to interrogate facts by expressing their opinions and ideas freely. It further delves deeply into areas which other methods do not reach up to, and gives substance to data. According to Liamputtong (2011:6), in exploring and examining what people think, focus group methodology is a useful tool. It uncovers how group members think, and their manner of thinking about issues of importance without exerting pressure to make decisions or reaching consensus.

5.4.2.3.2.3 Writing the interview questions

According to Flick (2018:2), the researcher may take different approaches when writing or creating an interview guide that is depended on the level of interaction with participants and the data sourced from secondary sources. Venketsamy (2018:20) states that one of the approaches may be to use unstructured questions that require potentially unanticipated responses. The aim is to hear the participants' thoughts about the topic and not what the researcher wants to hear from them as per the structured questions. The disadvantage is that respondents may sway the interview in their own direction and the intended results may not be achieved. Makhuzeni, Barkhuizen, and Maubane (2015:648) suggest that alternatively, the research may take the form of more structured interviews with more targeted questions that restrict the participants' frame of reference. Van Der Merwe and Schall (2016:125) refer to open-ended questions, which may be used to report experiences that may otherwise have been overlooked. The third option is the funnel approach to interviewing, which uses open-ended and highly structured questions (Du Plessis, 2018:151).

According to Gubrium and Holstein (2001:9), as soon as the researcher has identified the respondents, consent must be sought. Julsing-Strydom (2014:82) concurs that the request for permission must provide details of the interview, including place and duration that is convenient to the respondents. Fynn, Dladla, and Erasmus (2019:121) agree, stating that the interviewer must take an informed consent page when meeting the respondents for the scheduled interviews.

5.4.3 Thematic Analysis

According to Fillis and MacKerrow (2019:60), the research analysis may combine the findings of qualitative method and quantitative method into a single comprehensive conclusion. The results enhance the mixed method research theory on data analysis. Willig and Rogers (2017:3-5) state that thematic analysis (TA) refers to the data analysis techniques in the social sciences. It is a method of analysing themes in qualitative data. Lazarides, Wassenaar, and Sekhesa (2019:149) imply that thematic analysis developed from content analysis and is sometimes used interchangeably to refer to both qualitative and quantitative content analysis.

According to Swain (2018:3), thematic analysis is the analysis which researchers must learn, in that it provides foundational, core techniques and skills used in various forms of qualitative analysis. It also provides considerable flexibility. Nojavan, Salehi, and Omidvar (2018:6) view thematic analysis as a search for themes which emerge as important to the interpretation of the phenomenon. Pillay and Manning (2020:2) agree, stating that it is a method or process of identifying or encoding patterns of meaning in primary qualitative research. It pinpoints and organizes the themes which the analysts deem important in the description of the phenomenon under study and which is linked to the research question.

5.4.4 Semantic Versus Latent Codes

According to Willig and Rogers (2017:10-12), the codes in semantic coding capture explicit meaning. The identification of data is at a surface level. Semantic codes identify and summarise the content of the data and are built around what the participants say, mirroring their meanings. Naidoo, Hewitt, and Bussin (2019:6) suggest that in latent variables, such as meanings, ideas, concepts, and assumptions that are not explicitly stated capture implicit codes. In the early stages of coding, especially to newcomers to qualitative analysis, the analysis is often more semantic/surface. With experience, the analysis develops towards a more latent orientation. Farooqi (2019:16) states that latent variables go beyond participants' expressed meaning to the underlying patterns in the

data. They are built around concepts which assist with the explanation of data, and they require interpretation or insight. The appropriateness of each approach must conform to the research question and overall theoretical framework. No approach is inherently superior to the other, however, what is critical is that the approach to coding must be appropriate to the analytic purpose and the research question (Bently, 2017:1).

Terry *et al.* (2017:10-11) state that semantic or descriptive codes identify and summarize the content of the data. They are built around mirroring their meanings. They capture the surface meaning of data, however, that does not need to equate to a superficial or purely descriptive reading. According to Buitendach and Amla (2019:5), latent or interpretative codes go beyond the participant-expressed meanings to the underlying patterns or stories in the data. Van der Westhuizen, Thesnaar, and Greuel (2015:7) agree, stating that they tend to bring the analyst's theoretical frameworks to bear on the data, which are built around concepts and assist with the explanation of data, and therefore require more interpretation or insight.

5.4.5 Research approach

The quantitative approach involves the generation of data, which can be subjected to rigorous analysis in a formal and rigid measurement scale (Goldman, Thomas and Molose, 2019:5). Research approaches can be sub-divided into experimental, inferential, and simulation (Woollatt, 2017:7). A qualitative approach to research is concerned with the subjective analysis of attitudes, opinions, and behaviour. The research in this instance is concerned with the insight and impression of the researcher. Generally, it uses interviews which are group focused, in-depth interviews, and project techniques (Kothari 2004:5).

5.4.6 Data collection instruments

The intention of this study was to gain an overall understanding of the measures which would promote an effective disciplinary dispensation for the DPSA. This study used a collaborative mixed-methods approach (Scheepers and De Clercq, 2016:897). The use

of a collaborative mixed method approach allowed for richer and stronger than would have been the case with either a qualitative or quantitative single method (Yin 2014:66). It is rare that variables are used; hypothesis tested, or measures precisely created, using numbers only as a form of assessment. This study followed a convergent design where qualitative and quantitative data were collected simultaneously through triangulation with the hope of reaching similar conclusions (Leedy & Ormrod 2014:269).

The quantitative approach relied on numbers and statistics of empirical evidence (Boshoff and Strydom, 2015:16). The qualitative approach involved the investigation and narrative interpretation of data. The problem statement warranted the use of a qualitative approach, collaborated by a quantitative method as a means to close the gaps and validate the findings (Bless, Higson-Smith & Sithole 2013:16). Flick (2018:10) states that the main implication for realism for qualitative data collection is that data is not seen as text to be interpreted, or as constructs of participants, but as evidence for real phenomenon and processes. Inferences may be made from these data about these phenomena, which can then be tested against additional data (Harvey and Van der Merwe, 2018:30).

5.4.7 Source of data

Scientific research subscribes to data that is collected in an acceptable way to ensure credibility (Kerley and Kerley, 2016:85). Salkind (2010:2) states that the two sources of data that researchers rely on to conduct their research are primary and secondary sources of data. This concept emanates from history as the historians attempted to classify the sources of handwriting. These two classifications are relative and highly subjective as they are contextualised. The context determines whether the source of data is primary or secondary. According to Fink (2005:4) the source of data involves the manner in which information was collected. This includes self-administered questionnaires, virtual interviews, literature, and other statistical records.

5.4.7.1 Primary sources of data

According to Villa (2017:2-3), in-depth interviews is one of the primary sources of data collection. In this method, participants share and reflect meaningfully on their life experiences through sequence phases in telling their stories on the phenomenon under study. This is referred to as the traditionalist ethnography method (Nweke, 2020:58). This method is further referred to as the contemporary narrative inquiry with its roots in ethnography (Van der Spuy, 2015:3). According to Singh (2020:46), early 20th century ethnographers used life or oral histories as a form of extinctive and elusive, or otherwise inaccessible cultures for understanding phenomenon. An amalgam of interdisciplinary analytic lenses can be characterized as the contemporary narrative inquiry, diverse disciplinary approaches, and both innovative and traditional methods (Bhattacharyya and Bhattacharyya, 2016:375).

Salkind (2010:2) states that primary data refers to sources of data that are original. This is data collected first-hand for a particular purpose. The primary data may be published or unpublished, and may reveal the present or the past realities. According to Bothma (2016:43), the sources of data are created for a particular purpose. As described by an eye-witness, they may also encompass records of events, or of someone who actually experienced the event. Mabuza, Govender, Ogubanjo, and Mash (2014:1) suggest that both the primary data source and the primary sources provide information that follows the same basic stages of familiarization, coding and formation of categories, interpretation of themes, confirmation of the interpretation, and presentation of the results. These sources may not always be accurate, as they may be affected by the characteristics of an interviewee, transcription of data, data entry, and many other factors. Govender and Reddy (2020:1) affirm that the primary data source mostly uses the survey research, such as interviews or self-administered questionnaires. The forms of interviews include face-to-face, telephone, e-mail, and fax. The primary data constitutes the results of polls, census, and other direct data collection. However, when used by others for various research purposes they are referred to as secondary data. Salkind (2010:3) agrees, stating that the research design specifies data collection, the population, sources, and the procedures utilized. Primary data sources contain the firsthand and unfiltered form of data.

5.4.7.2 Secondary sources of data

According to Salkind (2010:3), a secondary data source refers to a data source that is available from other sources, which are already in existence. It may be used for other purposes for which it was not intended, and utilized by anyone other than the relevant researcher. These sources are non-original and are second-hand, but are nevertheless considered valuable. Faasen (2015:36) suggests that they are generally found in national archives, but may be obtained from the work of other researchers. As such, secondary sources are cost effective and efficient and evoke confidence. These sources are valuable in certain types of research, and over time have gained popularity. Given (2008:2) states that secondary data is pre-existing data that may be used by anyone other than the researcher, even if it is for administrative purposes. This data may be used in new research, supplement the existing analysis or comparison to other sources and data. Kolawole and Adeigbe (2016:7072) confirm that secondary sources of data are more popular in qualitative research as they are cost effective and venture into existing survey results. Challenges for the use of secondary data are firstly that it excludes the participation and concern of the originators of the primary data. Secondly, there is a limited relationship with the context of the data and the participants.

From above discussion, it is demonstrated that research is an integrated phenomenon which is made of various elements to produce an acceptable universal outcome. Maree (2016:50-51), in support, states that research takes a multipronged approach. Gorard (2010:2), in confirmation, emphasised a combination of phenomena that could achieve the desired results.

5.5 Elements of analysis

Kothari (2004:130-131) states that analysis is about the measures which are taken to determine the relationship between the research data groupings or units. With regard to surveys or experiments it is about the estimates of parameters which are unknown, the testing of hypothesis and drawing of inferences. Analysis is categorised into inferential and descriptive (Netterberg and Elsmere, 2015:55). Clohessy, Sharp, Hugo, and Van

Dyk (2019:24) suggest that inferential analysis is known as the statistical analysis and test hypothesis of which the validated data is utilised to draw conclusions and recommendations. Interpretations of data happen based on inferential analysis, and the study of distributions of variables is descriptive analysis. According to Bohnsack (2014:5-6), there is no clear disparity between qualitative and quantitative content analysis with common similarities. The commonality is with regard to coding of the systematic description of data. Notwithstanding the similarities, the quantitative content analysis is used to test the hypothesis, whereas the qualitative content analysis provides a detailed description of the material under analysis.

5.5.1 Document analysis

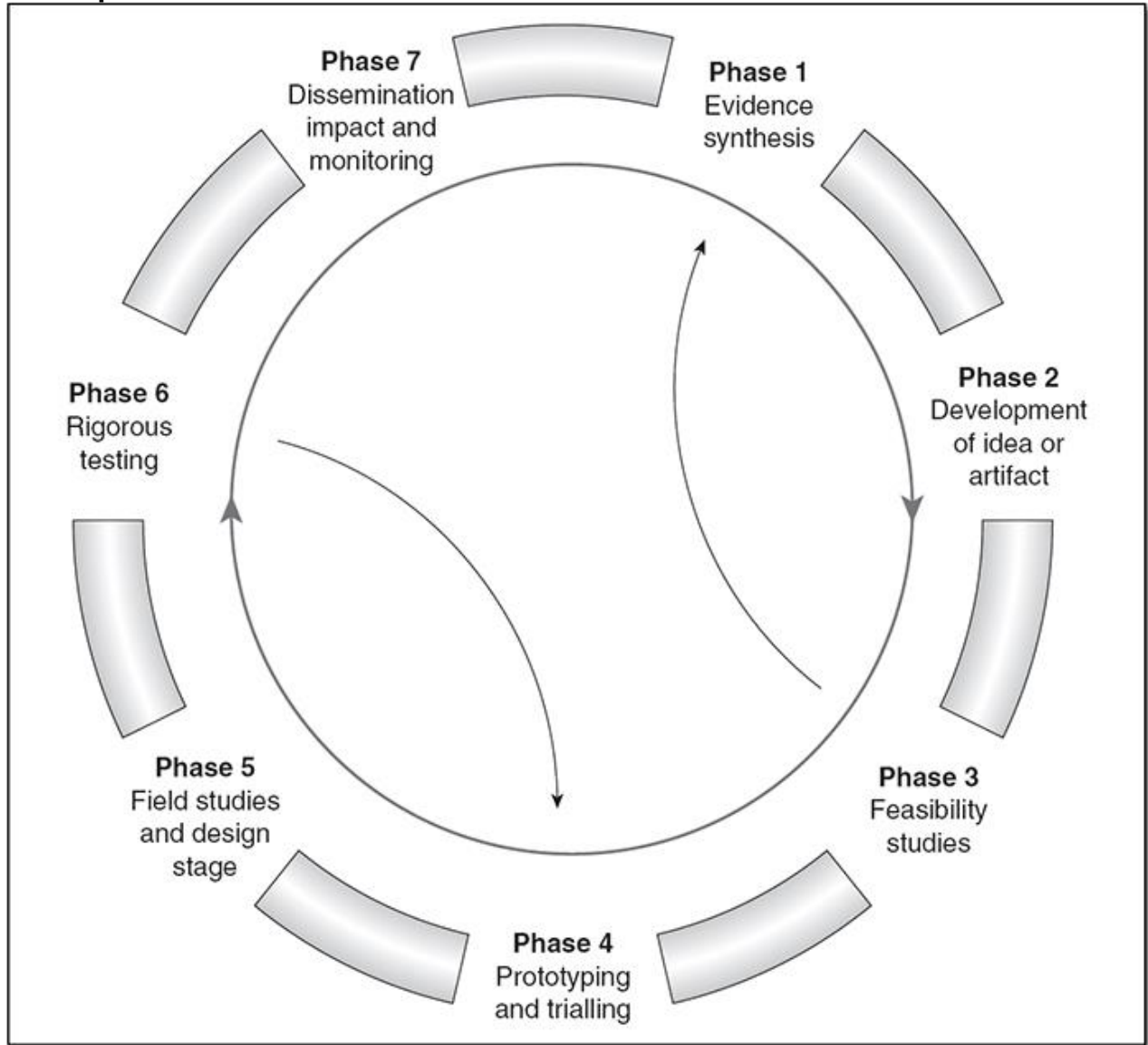
According to the DPSA 2010 study which was conducted on the effective management of discipline in the public service, in the past several attempts were made to improve the management of discipline in the public service, however those endeavours did not yield the required results. The reason for the failure to review the Disciplinary Code might be that the root causes of the challenges were not properly identified and understood (RSA, DPSA 2010:5). A typical example of poor discipline management is the suspension of employees with or without full pay for an extended period without justification (Golberg and Wilkinson, 2019:27).

Secondary data was gathered from relevant source documents. This data source formed and enhanced the contextual comprehension of the study (Jordaan 2013:11). According to Bohnsack (2014:10), originally the documentary method was used for analysis, and was later used for the interpretation of text, semi-structured interviews and for the interpretation of the recorded participants' transcriptions. Bohnsack (2014:4-5) states that documents play a critical role in social research when their analysis is used meaningfully. Documentary analysis may also be used as the main method for qualitative research. This is data from official sources such as statistics from educational outcomes. This means that researchers should be reflexive in how documents are treated as social data.

5.5.2 The cycle of research

Gorard (2010:6-8) states that the overarching research design incorporates most of data collection methods and analysis. The research cycle steps, as demonstrated in Figure 4.1, below overlap and do not clearly reflect the start and the end. Nonetheless, it has to be recognisable to anyone working in areas of applied social science, and in the public policy space in particular. Phase 1 is concerned with the research question and deals with the available evidence. The evidence includes the literature review, the re-analysis of the relevant existing data, and related policy and practices documents. Phase 6 involve the rigorous testing of the different methods to determine the most appropriate one, almost in the same way as Phase 1. The methods and approaches which are used include measurement, narrative, and observation. Phase 7 on monitoring may also use all and any data available. The cycle on Figure 4.1 served as the road map on the steps followed to conduct research on this study.

Figure 4.1: An outline of the full cycle of social science research and development



Source: Gorard, S. 2010:7

According to Gorard (2013:2-4), the cycle is more of a spiral, which does not have a beginning and an end. The phases overlap and can take place simultaneously, and which can iterate almost endlessly. Odendaal, Vermaak, and Du Toit (2015:140) allude to the critical point that different designs are more appropriate at different phases in the cycle. The starting point is evidence synthesis, which has an element of using the existing datasets. The ultimate result of evidence synthesis can lead to the definition of

the research problem, the research purpose, and the research question (Oyedola, 2020:70).

5.5.3 Measuring instruments

According to Brynard *et al.* (2014:49), specific characteristics are measured and not individuals. Drucker-Godard, Ehlinger & Grenier (2001:6) state that measurement in social science refers to a process that enables researchers to establish a relationship between abstract concepts and empirical indicators. A link is established through measurement between one or several observable indicators and an abstract concept. This may, for instance, be a cross in a questionnaire, a sentence in a meeting or a document, and observed behaviour, and so on. Kleyn (2020:21) affirms that the data that researchers collect in the field, should match the reality they hope to study. However, in the process, errors occur which make it difficult to achieve the desired results. Pillay and Laher (2015:14) agree, stating that researchers must ensure that instruments used allow for reliable and valid measurement.

The aim is to gather empirical data in a systematic manner which enhances meaningful knowledge to the study (Uleanya, 2020:42). It is important to comprehend how approaches function in order to improve communication and the mutual understanding of the research phenomenon (Mramba, Apiola, Kolog and Sutinen, 2016:127). There are differences between the research approaches, ranging from the nature of data, the research process followed, responding to a research question, and lastly the logical manner of conducting research (Neuman 2011:165-167). Brynard *et al.* (2014:8) agree, stating that the elements of planning, structuring, and executing of the research in data collection will be considered to meet the research demands.

It is deduced from Jordaan (2013:11) and Bohnsack (2014:4-5) that documents are a critical data source for analysis and measuring the performance of organisations. The data received from state departments are measured against the set performance standard in the South African government.

5.6 Validity and credibility

According to Makhubela and Mashegoane (2016:211), research requires the maximum level of credibility and accuracy in determining the appropriate findings. Chorwe-Sungani and Chipps (2018:114) state that validity implies adherence to the application of the principle accuracy and appropriateness in research. The inaccuracies occur at any given time during the course of research. The two perspective on validity seek to understand firstly, if the research investigation answers the research questions for which it was undertaken, and secondly, whether answers are provided using procedures and methods which are appropriate (Kumar 2011:177-178). The required logical link between the research objective and instrument is referred to as the face validity. The content validity determines the importance for the coverage of items and questions with the full range of the issue and attitude which has been measured (Kumar 2011:180).

Wotela (2017:237) states that research validity is about the level of its dependability, consistency, predictability, stability, and honesty. It is assumed that the greater the degree of consistency and stability in the research instrument, the more such a study will be considered as being reliable (Kruger and Toerien, 2014:8). The test of validity is on two sides, firstly on the reliability of the instrument, and secondly, to determine the level of unreliability (Kumar 2011:181).

It is deduced that the research analysis should be valid and credible to attain acceptable findings (Makhubela and Mashegoane, 2016:211). Accuracy may be regarded as the baseline for validity and credibility as implied from statements by Makhubela and Mashegoane (2016) and by Sungani and Chipps (2018:114).

5.7 Ethical considerations

Mathebula (2018:172) states that ethics refers to the good conduct which is enshrined in rules of morality. This means that in the research study, participants must not suffer physically or psychologically as a result of this exercise, but that they must be willing to

participate and be furnished with consent forms for completion (Fischer, Venter, Collins, Carman and Lalla-Edward, 2021:180). Kruger (2018:74) concurs that this is to ensure that the participants' rights are not violated or they are not deceived by the researcher. Ethics is the philosophical aspect of affording a person to apply their mind in making a particular decision. Masilela and Nel (2021:5) agree, stating that the researcher must further ensure that the information on participants is kept safe and secret. The information and data should not be accessible to unauthorised individuals.

According to Walliman (2011:43), research is based on honesty and integrity. Research involves working with participants who must be respected and the researcher must have regard for their rights. Brand (2018:37) states that ethical issues will always arise when working with participants with regard to how they are being treated. Jackson (2020:42) advises that it is critical to consult with participants and advisers in the course of conducting the research. Respect and honesty is not only limited to participants, but also insofar as collection, analysis, and interpretation are dealt with. The explanation of how conclusions were arrived at may be the means to avoid cover-ups or false reasoning.

The deduction may be made that research is an ethical and moral process, which requires that participants are treated with respected as emphasised by Mathebula (2018:172), Kruger (2018:74), Masilela and Nel (2021:5). Honesty is the overarching principle guiding the study (Walliman, 2011:43; Jackson, 2020:42).

5.8 Dependability and trustworthiness

Andres (2012:2) describes trustworthiness as the worth or truth value of the research project. The survey collected data is of value and trustworthy to the extent that firstly, the research question is answered, and secondly, describes accurately the sample or population selected, and lastly, if it can be extended to participants outside of the study research frame. A thoughtful and informed approach is a critical contributing factor to the truth value of the study (Kowalenko, 2018:363). Validity and trustworthiness should be built into the study as early as the conceptualization phase (Nare, Pienaar, and

Mphuthi, 2018:9). According to Toma (2011:11), the trustworthiness of the findings is established by means of their credence, transferability, dependability, and confirmability. These factors are equivalent to validity, reliability, and objectivity in qualitative research.

According to Andres (2012:9), issues outside the control of the experiment can adversely affect the results. As a control measure, participants in experiments are made to ensure that events do not taint the data results. The term dependability is used by researchers to account for changing conditions as a result of history (Naude and Naude, 2019:9). Toma (2011:15-16) states that dependability in qualitative research involves accommodating changes in the environment studied and in the research design. In qualitative research, the social world is always being constructed, and the concept of replication is problematic. The research questions tend to be evolutionary in response to the emerging data, with the researcher customizing the research questions. Thobejane and Nyathi (2018:11505) confirm this view, stating that dependability is defined as the consistent similar results and sustainable stability of the study process over time and across researchers and methods.

It is deduced from Andres (2012:2), Nare, Pienaar, and Mphuthi (2018:9) and Toma (2011:11) that research involves all the means to determine an informed outcome, which instil trust in the process. This is a multifaceted approach of finding the truth that is acceptable to the research fraternity and civil society in general. This research uses a mixed method which satisfies the requirements of dependability and trustworthiness as alluded to by Andres (2012:9) and Thobejane and Nyathi (2018:11505) above.

5.9 Conclusion

It is evident that methods are the pillar of social science research. This study adopted a mixed method approach which combines both the quantitative and qualitative methods. This has simply been referred to as triangulation, which has been fully explained in the context of this study. Various authors have argued in affirmation that the outcome of the mixed method is comprehensive and credible. The triangulation method covers all elements, which may create a gap in the research findings.

It is critical that the selected population is small and centralised, which is a force for the success of the data collection process. A careful selection sample is necessary to ensure equal opportunity of participation. Generally, the success of the study is dependent on the inclusion of all the research elements. The exclusion of some elements renders the research biased and certainly fails the determined test.

CHAPTER 6: DATA ANALYSIS AND INTERPRETATION OF RESULTS

6.1 Introduction

The previous chapter dealt with research methods and design. The focus is on explanatory sequential design which uses the qualitative component first, the results of which are supplemented to build on further examination with a quantitative component, before final interpretation. The exploratory sequential design reverses the sequence of explanatory design by applying qualitative research first, followed by quantitative research, before final interpretation (Gilbert *et al.*, 2017:32). The transformative design uses both quantitative and qualitative research in a 'transformative framework' that controls the overall research project (Petrovic *et al.*, 2017:183). Surveys are supplemented by interviews to determine current perceptions of conflict and a perceived predatorial presence in comparison to direct evidence collected in a four-month time period (Masseloux *et al.*, 2018:2).

This chapter presents the analysis and interpretation of the literature review and the empirical evidence of the interviews, survey, and documentation. It draws from Chapters 2, 3, and 4.

6.2 Biographical information

This section deals with information gathered from the questionnaire. The purpose of this profile is to elucidate the range of gender parity of the workforce at the DPSA. This section also provides insights into the dominant age group employed by the department, average academic qualifications, as well as experience.

Descriptive statistics such as the mean and median were calculated for the constructs. A Higher mean score would indicate agreement or importance.

6.2.1 Gender

Table 6.1 shows the respondents in terms of gender. 56.88% of the participants are male, and 43.12% are female. This compares unfavourably with the national population statistics, which reflect female at 51.1% and male at 48.9%, which means females are less represented than males in the workplace, but in the population, there are more females than males (Stats SA, 2019). It shows that women are disadvantaged in the workplace compared to their men counterparts. In the affirmation, it reveals that the Economically Active Population (EAP) of South Africa is 54.6% men and 45.4% women (Stats SA, 2020). This is an indication that the department should ensure balance in the implementation of South Africa's gender policy, as women are in a disadvantaged position in the workplace compared to their male counterparts.

Kanjere (2017:192) emphasises that gender bias is an element that keeps women out of their careers, and not the pipeline issues or personal choices as is often alleged. Wood (2014:50) states that more assertive behaviour towards gaining equitable gender relations, although ostensibly for the long-term good, might result in immediate negative circumstances. Anyanwu and Oribhabor (2019:14059) mention that at the heart of the gender discourse is the contention that biological differences have been exaggerated and used to justify the unfair treatment of the female sex.

Table 6.1: Gender Aggregation

A1 Gender	N	Column %
Male	62	56.88%
Female	47	43.12%
All	109	100.00%

6.2.2 Years of service

Table 6.2 illustrates the years of service of the participants. Sixteen per cent (16.51%) of participants have been working for the department for a period of five years and less, and 33.94% have been working for six to ten years. Twenty-seven per cent (27.52%) of participants have been working for a period of between 11 to 15 years, and 13.76% have been working between 16 to 20 years. Eight per cent (8.26%) of participants have been working for more than 21 years. The data shows that the department has a highly experienced staff composition which is capable of ensuring effective discipline management. This is supported by Muzondo and McCutcheon (2018:26), who state that managerial expertise and experience are vital for the success of an enterprise and have a significantly positive relationship to the performance of the enterprise. Roberts, Egorov, and Melanina (2019:6) mention that it is in this part of human experience of individual transfer of knowledge from one person to another that is especially important.

Table.6.2: Years of Service Aggregation

A2 Years of service		
0-5	18	16.51%
6-10	37	33.94%
11-15	30	27.52%
16-20	15	13.76%
21+	9	8.26%
All	109	100.00%

6.2.3 Age

Table 6.3 shows the age of the participants. The table indicates that 4.59% of the participants are Generation Z (Born Free Generation (BF)). In the South African context, Born Free Generation refers to the generation that was born in the era of democracy (Kahn & Louw, 2016:741). 44.04% are Millennials, while 43.12% are Generation X (GenX). 8.26% are Baby Boomers (BBs). From the results data, it is clear that the majority are Millennials, followed by Gen X. The presence of Gen X is vital as they bring

effective historical methods and instinctive methods of executing tasks, as underscored by Tulgan (1997:33).

Tulgan (1997:33) claims that Gen X is a workforce that researches theories to enable them to substantiate their evidence and findings. The generational mix allows for inter-generational interaction and knowledge sharing opportunities between the older generation and the younger generation as highlighted by Lancaster and Stillman, (2010:41).

Based on the data and the literature, Table 6.3 shows that the department employs a mixture of generations, which bodes well for the department as it allows for institutional knowledge sharing. The Baby Boomers can mentor the millennials, which may maintain their retention with the department.

Table 6.3: Age Group Aggregation

A3 Age group		
18-27	5	4.59%
28-40	48	44.04%
41-56	47	43.12%
57-70	9	8.26%
All	109	100.00%

6.2.4 Academic qualifications

Table 6.4 portrays the academic qualifications of the participants. 12.84% of the participants have a qualification lower or equivalent to grade 12. 24.77% have a National Diploma, while 32.11% hold a bachelor’s degree. Only 11.93% hold a post-graduate diploma, and 13.76% have an honours degree, while 4.59% hold a master’s degree.

A total of 11.93% hold a post-graduate qualification, which suggests that the department have suitably qualified human resources to implement, manage, monitor, and evaluate the programmes that contribute towards the achievement of the mandate of the

department. This is aligned with GWM&ES (2007:15), which requires M&E practitioners to have an extensive research background, and the ability to gather and analyse the government's activities. Van der Bijl and Oosthuizen (2019:213) state that subject knowledge gained through academic qualifications is valuable as it adds quality to the teaching and learning process.

Table 6.4: Qualification Aggregation

A4 Qualification		
Masters	5	4.59%
Honours	15	13.76%
Postgraduate diploma	13	11.93%
Bachelor's degree	35	32.11%
Diploma	27	24.77%
Matric	14	12.84%
All	109	100.00%

6.2.5 Rank

Table 6.5 shows the respondents in terms of rank. 49.53% of participants are employees between salary levels 1-8. This is constituted of 5.50% on salary level 1, 0.92% salary level 2, 2.75% salary level 4, 1.83 salary level 5, 23.85 salary level 6, 4.59% salary level 7 and 10.09% salary level 8. The participants at the middle management salary level 9-12 are 31.19%. This is constituted of 5.50% on salary level 9, 8.26% on salary level 10, 8.26% on salary level 11, and 9.17 on salary level 12. The participants at the senior management salary level 13 and 14 are 19.26%. This is constituted of 17.43% of employees on salary level 13 and 1.83% of employees on salary level 14.

Mafini and Dlodlo (2014:3) state that when employees perceive that there are high chances for promotion, they feel motivated to work harder to achieve organisational goals, with a view to attaining elevated job designations and higher ranks. Mayer, Louw, and Baxter (2015:10) comment that those who supervise or manage others have an important effect on the level of emotional commitment to the organisation. Garaba and

Kutu (2020:4) cite job positions or ranks when planning is recommended as a means of enhancing job satisfaction.

The results reveal that the department’s workforce is not a reflection of the gender of South Africa, with the females being the majority. In terms of age, the department employs a variety of age groups, from the Millennials to the Baby Boomer’s generation. The workforce, however, reflects that the majority are the Millennials. Concerning academic qualifications, the department employs adequately qualified staff, who would be designated to achieve its goals and objectives. The majority of participants are at the management level.

Table 6.5: Rank Aggregation

A5 Rank		
1	6	5.50%
2	1	0.92%
4	3	2.75%
5	2	1.83%
6	26	23.85%
7	5	4.59%
8	11	10.09%
9	6	5.50%
10	9	8.26%
11	9	8.26%
12	10	9.17%
13	19	17.43%
14	2	1.83%
All	109	100.00%

The above biographical information is critical for the assessment of prevailing disparities and imbalances in disciplinary management at the DPSA. The information shows the legislative compliance gaps on equity which require attention to ensure legislative compliance and adherence to non-discriminatory practice at the workplace (Kanjere, 2017:192; Wood, 2014:50).

6.3 Qualitative analysis

The researcher developed the consistency matrix based on the management theory which is applicable to this study. Management theory, for purposes of this study, is categorised into the three management sub-theories, which are the organisational commitment theory, psychological contract theory, and organisational support theory.

The main qualitative variables or constructs are divided into discipline management, disciplinary process, norms, and standards, forms of discipline, disciplinary procedure, and disciplinary outcome to ensure that interview questions and responses of participants are classified in an orderly manner.

The variables that define the qualitative construct are disciplinary outcomes, management advice, finalisation of disciplinary cases, representation, disciplinary framework, monitoring and evaluation, policy review, training and awareness, implementation, and precautionary measure.

The analysis of the results only focuses on the twelve (12) interviewees who were interviewed by the researcher. The study focuses on four (4) sample groups in order to gain insight into the topic under investigation. These groups are distinguished by Group A (Deputy Directors) (DD), which includes interviewees DD1, DD2, DD3. Group B (Directors) (D), which includes interviewees D1, D2, D3. Group C (Chief Directors) CD, which includes interviewees CD1, CD2, CD3, and Group D (Deputy Director-Generals) (DDG), which includes interviewees DDG1, DDG2, DDG3.

Virtual interviews were conducted with twelve participants from four management levels consisting of equal representation from each level of Deputy Directors, Directors, Chief Directors, and Deputy Directors General. The participants were selected randomly to share their management insight on the topic by responding to interview questions. The selection of these categories of employees is their management competency to match the research topic of discipline management in the DPSA. The service of a qualified transcriber was utilised. All interviews were recorded and transcribed.

6.3.1 Disciplinary management themes

There are emerging themes which were established from this research. A theme is defined as a subject, topic, or a recurring idea that is presented in a context that conveys a certain meaning (Matjila, 2019:1). A dominant theme is normally one that declares what that particular context is about, and can be of assistance in establishing vision and analysis (Yusuf *et al.*, 2017:91). A theme is not only restricted to one or two words, but it can be in a set of words (Mathebula, 2018:155).

The emerging themes in this study are the norms and standards, disciplinary management, forms of discipline management, disciplinary procedure, and disciplinary process. These themes are presented from a wide perspective and defined by specific variables. These variables, which respond to the research questions and define each theme, are the disciplinary policy framework, monitoring and evaluation, policy review, disciplinary outcomes, advice, training and employee awareness, precautionary suspension, fair implementation and representation.

6.3.1.1 Norms and standards

This section of the study focuses on the first variable which defines the qualitative construct of this theme, which is the effectiveness of the disciplinary framework. This variable consists of three sub-variables, which are the disciplinary framework, monitoring and evaluation, and policy review.

Objective of the questions on norms and standards: To source information from the participants on the disciplinary framework, monitoring and evaluation measures on the conduct of employees, and the necessity to periodically review the disciplinary policy.

Questions:

- 1) How is compliance to the disciplinary policy framework in the department?

- 2) How effective are the monitoring and evaluation measures on the conduct of employees?
- 3) Why is it necessary to periodically review the disciplinary policy?

Question 1: How is compliance to the disciplinary policy framework in the department?

Response:

Interviewees CD1, DDG1 and DDG3 thought that there is non-compliance to timeframes, resulting in the ineffectiveness of the disciplinary policy. CD1 stated that:

“It is very prescriptive in terms of days that it can lapse before, for instance...once things have been made known, for instance, when discipline is applied there’s specific prescripts in terms of timeframes, which I think it’s important to map down timeframes but in the environment that we’re working with it is difficult to keep to the timeframes. So, I think the timeframes is something that we are specifically struggling with in the public service.”

Interviewees DD2, DD3, CD1, CD3 and DDG3 felt that the policy is not effective. There is a view that officials resort to seek outside intervention for their disciplinary process where the employer imposes disciplinary action. The policy needs to be strengthened in certain areas to ensure improvement. Interviewee CD3 stated that:

“I don’t think very effective. I think there seems to be not much of a willingness to implement the policy and the framework.” On the one hand the other interviewee DDG3 said, *“However, I’ve seen one case where a person was disciplined and the procedure is taking long. It’s really been a year, more than a year now, that that’s been going on. So, from the only case that I have experience with it seems like it’s not very effective time wise.”*

However, participants DD1, D1, D2, DDG1, and DDG2 were of the view that the disciplinary policy in the department is effective. Some of the confirming statements made by the interviewee D2 are the following:

“I think the policy itself it is effective. However, I think the implementers, they are the one [sic] who are not implementing it correctly.”

The other statement from a participant:

“It means that the framework is effective in terms of managing employees in the workplace.”

Interviewee DDG2 agreed, stating:

“It is effective when it is applied consistently and rigorously, but in instances where inconsistencies are identified then challenges are experienced because the implementation can be challenged on procedural grounds.”

Interviewee DD3 and DDG1 thought that it is, to some extent, effective inasfar as it helps to clarify the processes that must be followed for effective discipline management. But also thinks that in every policy there are usually challenges with implementation that are as a result of a number of factors. Interviewee D1 said:

“So, I think that it is, as I said, to some extent effective but I think effective implementation is challenged by a number of factors that don’t make it possible for the department to resolve disciplinary cases.”

Interviewee DDG1 further stated that what has also been found is that there seems to some extent to be limited understanding by managers in terms of their role in managing discipline, and therefore they tend to relegate the responsibility to labour relations. Therefore, a need was identified to either train, or remind managers of what the policy says, and what the role of each role-player is in the effective implementation of the policy.

The interviewees made various comments on the finalisation of disciplinary cases. Interviewee DDG1 felt that the prescribed set timeframes to finalise disciplinary are impractical. The interviewee said:

“So, I think for me the timelines that are imposed are not fair on departments to allow them to finish cases on time because cases are not the same. Some are more complex than others, and I think their having a one-blanket approach in terms of timeframes is what I think is unfair with the disciplinary frameworks that we have at the moment.”

Interviewee DDG2 suggested that compliance to finalise disciplinary cases promptly requires progressive interventions. In this regard, the interviewee said:

“let’s take for an example, the turnaround time to finalise disciplinary processes.”

Interviewee CD2 relayed the delay in finalising disciplinary cases to technicalities, and said:

“there’s been some postponements of the case and it’s to prepare and to [sic] because it’s a complex case.”

In support interviewee DD2 stated the following”

“And there is also a struggle in terms of finalisation...or compliance in terms of the number of days which are prescribed in the resolution, which is ninety days.”

Interviewee DD1 said the following on the delay:

“a hearing must be finalised within ninety days, and we know that we’ve got cases where people have been on suspension for more than a year and more than two years, which as DPSA we have been running intervention workshop in terms of trying to say what are the issues that you are having? Why are you not finalising these cases at this time? I think the part of training chairpersons is to say [sic] one of the issues that have been raised is the issue of capacity where we don’t have enough people trained to chair these hearings and finalise them on time.”

Interviewee DD1 in concurrence stated:

“I think [sic] issues but the purpose is what we are still trying to do, that’s reduce the number of days it takes to finalise the disciplinary cases as it impacts...you know that they must be prompt and a person must still respond to allegations when they still remember, the witnesses are there, and evidence doesn’t get lost.”

Interviewee DDG3 said:

“I feel that you must make sure that you then finalise everything within the timeframes that’s been given by the framework and therefore I think it contributes to a proper hearing and evidence collection. So, it’s important to have the person not there influencing but it shouldn’t be forever because then it’s too much.”

Dare (2020:6) states that audits and penalties constitute the main compliance-enforcement mechanisms across many countries. The application of consistency promotes equality and ensures fair treatment at the workplace (Botha, Schultz and Bezuidenhout, 2018:4).

Question 2: How effective are the monitoring and evaluation measures on the conduct of employees?

The second variable which defines the qualitative construct of this theme is monitoring and evaluation. Interviewees expressed different views on the effectiveness of the monitoring and evaluation measures in the DPSA.

Interviewee CD1 is of the view that monitoring and evaluation measures are effective.

“I’m saying that I think it is effective in terms of measures that would have been put in place after such action was taken.”

In contrary interviewees DD1, DD2, DD3, D2, D3, CD2, CD3, DDG1, and DDG3 maintained that there is no monitoring and evaluation identified at the moment in the department. Interviewee D3 mentioned the following:

“It’s a by-the-way thing that is done, but there’s no concrete M&E framework that is happening that can be followed strictly to say this is what we’re gonna use... It’s just done as by the way in the department.”

In affirmation to this, interviewee DD2 said that they usually collate data wherein they do an analysis just to find out how many employees have misconducted themselves and the acts and nature of misconduct.

“I’ve never heard of the monitoring process or the monitoring procedure in place.”

Interviewee DDG1 expressed that one cannot monitor attendance just for the sake of monitoring in that it should be part of performance management, and therefore that is why when one is taken for a disciplinary process, for example, due to their poor attendance, one needs to demonstrate what has been done to deal with that behaviour. Ideally, people should not end up in disciplinary processes for the implementation of progressive discipline to change their conduct. It is not known how effective it is at an individual manager level as the closest point of origin. Interviewee DDG1 said:

“So, monitoring, I think it becomes a very difficult thing because you cannot monitor people centrally in a department. So, what I’ve observed in DPSA that sometimes there is an expectation that administration or HR should be able to monitor employees’ behaviour. It practically is, one, not possible because that is the responsibility of each and every manager. Because we don’t manage conduct for its own sake.”

The same interviewee concluded as follows:

“so we must first define what those measures are and what those monitoring processes are for you to then monitor them, but we don’t have an organisationally defined monitoring system for those kinds of things.”

Interviewee DD3 is of the opinion that the monitoring and evaluation measures are not effective. According to the interviewee, supervisors are there to monitor and evaluate the conduct of the employees.

“So, I suppose a supervisor who manages employees provides that function of monitoring and evaluating the conduct of an employee, but they are also guided by the Code of Conduct which the employees are supposed to abide by.”

In support, interviewee DDG2 mentioned that she thinks it is an area that should be rigorously attended to by the employer. The interviewee continued to say that employees and unions should fully understand that monitoring and evaluating conduct is not an act of unfairness by the employer, but it is a prerequisite to document the employer’s areas of excellent conduct, areas of poor conduct, and areas of improvement in order to identify interventions. The interviewee said:

“So, I would say the measures in that area, for me they are not effective, not because of the measures themselves, because I think the DC framework does explain what needs to happen. And if you look at it also from other frameworks, like your PMDS and so forth, management of leave and all of that, the measures are there but they are often not implemented rigorously because of the labour-intensive nature that is required to keep record of those things, and just the tendency of supervisors to avoid tensions and confrontation with subordinates.”

Interviewee CD2 mentioned that it is not certain, and does not know that in the DPSA there are any monitoring and evaluation measures, because the department is sometimes reminded to submit accordingly where for instance a nil suspension report is provided instead of citing the single current case on its database. The department is reminded that the report shows that there is no case of suspension, when in effect there are cases that exist. The interviewee said:

“... and I think if you talk about the monitoring and evaluation measures on the conduct of employees, I think that’s also the supervisor should play a role.”

Interviewee DDG3 highlighted that the issue of progressive discipline is ignored and has seen many times in government that managers ignore misconduct. Specifically, in

DPSA, the interviewee stated that this is the reason why he has only observed one case. The interviewee said:

“I felt managers are shying away from this. Managers are not doing the job that they should be doing and they’re not really monitoring, or there’s no real measures I think of looking at the conduct of employees. I do think, however, that managers see [sic] it but they don’t act on it and they’re reluctant to address the matter.”

Interviewee CD3 in support stated the following:

“I think we’re also not good at assessing or monitoring people’s conduct. So, we all do that...we have the disciplinary code and all of that but I don’t think that management and supervision is always monitoring people’s conduct and behaviour.”

Wotela (2017:7) states that a monitoring and evaluation system is complex, as it needs to be contextualised and respond to all the requirements of an organisation’s need for M&E. In support, Kabonga (2020:11) states that monitoring and evaluation cannot be underrated as it unearths the scenarios and rectifies them. In confirmation, Levin (2017:139) states that evaluation is also a component of Results Based Management (RBM), and within the context of public programmes it is part of a management approach that aims at clarifying the roles and responsibilities of public servants.

The sub-variable of the norms and standard theme under monitoring and evaluation is the perception on Management Performance Assessment Tool (MPAT) in relation to performance improvement on discipline management. MPAT had since been discontinued and most interviewees strongly expressed that it was adding value in the monitoring and evaluation of discipline management.

Interviewee CD1 is of the view that MPAT contributed positively to enhance compliance. In confirmation the participant said:

“However, I do think that there was a bit more commitment from [sic] let’s call it from labour relations’ perspective to comply with deadlines when there was a [sic] MPAT.”

In support, interviewee D2 expressed that MPAT was effective and this is supported by this statement:

“I think MPAT was actually helping there when it was effective because at least it was another tool where they are reporting it to the outside body where they will manage them in terms of following the rules. But since now there’s no more MPAT that’s why you see people are being suspended for too long without being charged. So, it will be advisable if the MPAT can come back.”

Interviewee CD2 agreed stating that:

“I think the MPAT was a good thing, even for ethics management, because when it’s in the MPAT, it forced departments to give attention to it because they would be found wanting, and it would a public thing where people are now saying that this department did not really perform.”

Interviewee DD3 indicated that MPAT was merely a tool and did not find it useful. The tool never provided means or resources which assisted the department to improve performance. It was good that it was discontinued, as the purpose for the assessed areas had no value. This participant stated:

“No, it was never effective really. It was never effective. So, it did not produce the intended result. I suppose that’s why it faded off for whatever reason. But it never [sic] the intended results, so it’s good that it’s no longer there.”

In agreement, interviewee DDG1 stated the following:

“The issue about MPAT, unlike your AG, is that whilst it served the purpose of highlighting the departments’ performance, in some ways maybe not necessarily on disciplinary management, departments found it a very frustrating process because it was seen to almost be a duplication of what the AG is monitoring as

well in departments. But maybe because the AG's findings hold a lot more weight the department would be more vigilant in addressing findings than they would with the MPAT. But I think what also complicated the issue was that for the discipline management you also have your PSC and you also have your foresight processes where reports are sent on the monitoring of discipline. So, I think with an addition of MPAT it also just added to the compliance fatigue that departments are having."

Interviewee DD1 mentioned that most of the indicators were very good in terms of analysis and the finalisation of cases within ninety days. The interviewee said:

"I think MPAT was a good idea that we were not able to implement it correct. Because it was a reaction from the departments that when the financial...the time of the [sic] comes then people look at it. But it was in support of what we were trying to do in terms of your meeting your ninety days. But I guess the communication and the implementation of it was not adequate."

In support, interviewee DD2 confirmed the critical role of MPAT by stating the following:

"Yes, it does assist because that's where you're able to collate data and you do a data analysis and you come up with measures as well as interventions. And it allows the employer to intervene in those areas where there are challenges and to come up with models and strategies."

Interviewees CD3, DDG2 and DDG3, made the following comments on the role of MPAT in the monitoring and evaluation of discipline management.

DDG2 said:

"So, having said that, I must be very, very honest with you and say the MPAT has a fifty/fifty impact in the sense that departments that are concerned about their performance in each and every one of the MPAT indicators do put an effort into improving, let's take for an example, the turnaround time to finalise disciplinary processes."

Interviewee DDG3 said:

“In the absence of any other tools, I think it was useful but I also think it was more of just a compliance tool and sometimes one needs to dig a bit deeper into the root causes of non-compliance. Whilst this one will just say you have complied or not complied, which is important and one needs to make sure that you achieve compliance, but the reasons for compliance was lacking, according to me, and the digging of deeper. But, for the time when it was there, I think it did play its role and it did make people aware of departments that’s actually not complying with various aspects, amongst others then discipline management. But I think it was useful and, like I said, in the absence of anything else I think it was very useful, and they’ve basically discontinued now and I think if we don’t urgently get something else in place that’s similar there is gonna be trouble. We’re gonna experience some trouble there.”

Interviewee CD3, in agreement, stated that:

“Obviously I can’t be unbiased when it comes to MPAT, but what MPAT did was it at least replaced the administrator functions from corporate service’s functions to put it on the table of the executive of the department. So, I think in that way at least people had to periodically reflect on their compliance and their performance against these policies. But I think also the impact did sort of become less and less over time, reduced over time. But at least we got that time with the executive and we can see we’ve been seeing some relapse and...what do you call it? Regression since we stopped MPAT.”

Tully and Ishmail (2020:8) state that evidence is a critical factor for MPAT to substantiate the standard relating to evaluation and its link to the government strategic management process which is required for assessment. Tirivanhu, Olaleye, and Bester (2017:686) agree, stating that MPAT is a structured evidence-based approach to the assessment of management practices that aims to improve the performance and service delivery of national and provincial departments. The emphasis is on the guidance of the assumption that MPAT improved management practices, which are a necessary condition to improve public service performance and service delivery. It

promoted good management practices within the public service through establishing benchmarks for performance. Ngumbela (201:50) states that management practices through the Management Performance Assessment Tool (MPAT) which was approved by Cabinet have raised awareness in departments on minimum standards for governance and accountability.

Question 3: Why is it necessary to periodically review the disciplinary policy?

Response:

Interviewee DD2 said:

“I’ve realised that there is a need for a review because it’s an old [sic] process that we’ve...procedure that we have benefit utilising and the law is not static, it changes each and every time. So, we do need to do a review to align it with our new changes in terms of the legalities.”

According to interviewee D2 normally the policy is supposed to be reviewed at least after every three years or five years, or when it is necessary. The interviewee in confirmation stated the following:

“I think the periodic review would probably have to be considered after analysing whether there has been changes in what is considered to be right and what is considered to be wrong.”

Interviewee CD3 in support said:

“I think it’s definitely...cause we’re changing other policies and even I suppose the [sic] are being amended and changing, as well as the work environment changes. So, all of us...or a lot of us are now working from home and all those things, so...I think it’s important that it’s [sic] quite regularly to just make sure that it’s up to date. As well as we...the sense I have is we’re losing most of our CCMA cases and it’s because of procedures. So, maybe we should look at whether our procedures are appropriate and that, and then we must fix that. It’s critical.”

In affirmation of the periodic review, Interviewee D3 thought that discipline management is a living organism. According to the interviewee there is a need to be on a par with other standards from developing countries so that amendments are effected where necessary. This interviewee remarked as follows:

“For example, like right now we are facing the situation of COVID-19 and most of our policies in government are not factoring the COVID-19. So, there’s a lot of misconduct that can happen. For example, most of our communication now is online, our training’s online, our meetings are online, so we need to tell employees how to conduct themselves when using these tools online.”

Interviewee DD1, in agreement said:

“This is very important. Let’s make an example. Our current policy is one of two thousand and three. There was no social media at that stage and therefore people will have not known what to post and what to do and therefore doesn’t cover, but it doesn’t mean that if you do something wrong in terms of your social media or communication you’re not going to be charged.”

This interviewee also mentioned that there is COVID-19 and employees coming to work positive. Those are the things that allow for current examples to find expression in the disciplinary code and address new technical issues that arise as progress and developments happen in the work environment.

Olaitan and Ojetunde (2020:195) state that discipline is a behaviour modification tool intended towards reducing the recurrence of undesirable behaviours and to increase the frequency of desirable behaviours beneficial to public service. Pietersen (2020:442) mentions that there is a necessity of reviewing conditions of service in working arrangements such as working from home to avoid intermittent stoppages during a pandemic. Workplaces should be geared towards policies that will discourage overcrowding henceforth, even beyond COVID-19, to avoid future pandemics. In agreement, Moodley and Shumba (2018:3) confirm that the review and standardisation of the policy and legal framework embraces social and human rights imperatives.

Interviewee DDG1 said:

“Because as far as I know we still haven’t reviewed that disciplinary framework. I know that the relevant branch has been requested to do that. I’m not sure how far we are but I think we urgently need to review that framework so that it creates an enabling environment for departments to resolve cases within a reasonable period...”

In support, Interviewee DD2 mentioned that a policy review is necessary and stated as follows:

“It assist to have a review because that’s when you’ll realise what are the gaps and the loopholes that code has and then you’ll make some amends.”

Interviewee DDG3 suggested that obviously one can also have learning sessions in between, see what’s new, and then judge the situation, whether the policy is still relevant by the time it gets to two or three years. If the view is that it is still relevant, it can be kept as is, but what matters is the importance to actually review policies on a regular basis. This interviewee said:

“I think it’s important that you actually review it quite often in the sense to...it’s a science, disciplinary procedure, it’s a [sic] area of expertise and there’s a lot of new developments coming along as you go, as time progresses. So, I think to keep up with the new developments, this needs to be done at least at a two-/three-year interval I would say, to make sure that you’re actually not falling behind with regards to new developments.”

Interviewee DDG2 stated that:

“But I would say it’s important possible in a five-year cycle to review the disciplinary policy, taking into account lessons from studies that have been conducted on the extent to which the code is uniformly implement and, if not, why, but also taking into account the outcomes and lessons from cases that have been

challenged through Bargaining Councils and/or courts and the pronouncements thereof.”

Interviewee DDG2 further echoed the following sentiments:

“I think it’s important to review any policy at least three-yearly because you link your policy to culture and culture changes. You have new people coming into systems, you have new ideas, new situations, like now with the pandemic, and if your policy is not reviewed you may miss things.

Lastly, interviewee D3 went further to substantiate that the policy should be constantly updated with current developments. The interviewee stated that:

“Because I think the framework that is in place was...when was it? Nineteen ninety-nine if I’m not mistaken and we are now in twenty twenty-one. So, for me it does not cover most of the things that were...the discipline evolves.”

Chirisa, Mlambo-Simba, and Matamanda (2018:1) state that a review of the existing policy framework becomes critical, taking cognisance of ever-changing human needs and the complexity of urban problems. Gray (2018:1) outlines the effect and importance of the review of policies, in that outdated policies put an organization at risk, as old policies may be non-compliant with new laws and regulations. A review ensures that policies are consistent and effective, and regular review keeps the organization up to date with regulations, technology, and industry best practices.

6.3.1.2 Disciplinary management

This section of the study focuses on the second variable, which defines the qualitative construct of this theme. This variable has two sub-variables which constitute the influences of management on disciplinary outcomes, perception on the advice provided by labour relations to managers, and finalisation of disciplinary cases.

Objective of the questions on disciplinary management: To source information from the interviewees on influences of management on discipline outcomes, and the perception on the advice provided by the labour relations unit to line managers.

Questions:

- 1) How does management interfere with disciplinary outcomes?
- 2) What is your perception about labour relations unit's advice to line managers on the management of discipline and finalisation of disciplinary cases?

Question 1: How does management interfere with disciplinary outcomes?

Response:

Three interviewees responded. Interviewee DD3 maintained that management does influence the disciplinary outcomes as part of the management process. When interviewed, participant CD1 said:

"Discipline is a management function, so a manager influences the disciplinary process in a major way. I think the progressive discipline that is prescribed does give managers some kind of guidance in terms of how to progress with a specific kind of discipline. But it also depends on the kind of misconduct that is being disciplined, because if it has a more serious nature then managers do not have to go through the progression but there could then be a letter of intent to implement discipline in terms of a formal written warning or even a final written warning. So, I think in that regard managers definitely influences the kind of discipline that is being applied."

Interviewee D2 expressed the view that managers influence the outcome of the disciplinary process. At the interview the participant stated:

"I think they have got an influence on the outcome. They like to interfere and changes the outcome."

Interviewee DD3 said

“... to a large extent the outcome of any disciplinary hearing is mainly influenced by the management position on that certain case. So, indeed, the influence is there to a very large extent.”

Interviewee D3 mentioned that managers do not take responsibility of discipline management. The responsibility to discipline is a management function, but is inappropriately relegated to human resources (HR). During the interview the participant said:

“So, I think they want to be seen as being, I don’t know, safe or they relegate to HR instead of them dealing with these employees that are directly reporting to them, if they see any act of misconduct being committed.”

On the same understanding, Interviewee DD1 stated:

“As I said, my experience has been that this thing is outsourced and when managers come to labour relations it’s when they said we are looking at this outcome.”

Interviewees D3, CD2, CD3, DDG1, DDG2 and DDG3 had not experienced any influence. Interviewee DDG1 mentioned that in the majority of cases the department usually have, the chairpersons that are appointed would be deemed to be independent. When there is an outcome of a disciplinary process, that will usually be decided upon by the chairperson and then the head of department is required to implement that sanction. The managers, who are the ones who have initiated the disciplinary process, would participate in the process as people who are witnesses to give evidence as to the charges that would have been preferred against the employee. Interviewee DDG1 reiterated:

“So, I have not had in my experience any experience of any undue influence by management in the outcomes of disciplinary processes.”

Interviewee CD3 said:

“I haven’t come across any influence, that people were influencing the presiding officers [sic], so not that I’m aware of.”

Interviewee DDG2 in support stated:

“In instances of cases that I’m aware of, and maybe at least those that I have been involved in either as part of the supervisory or overseeing, managers that requested the institution of a disciplinary process do not influence anything because the practice is to ensure that the internal officials are not used as presiding officers in... So, we try to rely on the independent opinions of external labour relations experts, largely from other departments, those who have been proven to be effective and fair in dealing with such matters.”

Interviewee DD2 said that the utilisation of legal representation is seen as a norm and not an exception. This participant confirmed the practice of political interference and said:

“I’ve noticed a lot of political interferences coming on the politicians wherein departments are being told to suspend certain individuals without proper procedures, and you just get an instruction that suspend this person.”

Mosito and Molapo (2015:107) observe that the manager may have to provide a basis for his decision by laying down a statement of reasons underlying his decision. However, such a decision does not have to be irrational, but should balance personal interests with good governance. Zaaïman (2020:13) states that influence instead indirectly affects the probability of choices, thereby impacting on other actors in their various dimensions, from external conduct, inner life to policy practice and moral exercise/imperatives. Nwali (2018:49) agrees, stating that management is the process of working with and through others to achieve organisational objectives in an efficient and ethical manner.

Question 2: What is your perception about labour relations unit's advice to line managers on the management of discipline and finalisation of disciplinary cases?

Response:

The second variable is regarding the perception on advice provided by the labour relations unit to line managers. There are two competing views expressed by participants, firstly that the labour relations provide appropriate advice, and secondly that labour relations is disregarded by managers.

Participant CD1 during the interview said:

"I'm sure that labour relations unit gives appropriate advice but I think, in general, managers do not like to take the advice that is given to them, or sometimes they just try to push their responsibility to labour relations unit."

Interviewee D3 indicated that:

"So far, I think we have the relevant people who are giving the relevant advices [sic] and then have full advices [sic] to managers."

Interviewee D2 mentioned that the labour relations unit's advice is poor and that managers overcome the labour relations officers. This is because the labour relations officers in the department are employed in junior levels. During the interview the participant said:

"Ja, 'cause, remember, it's a labour relation officer who's supposed to advise your supervisor and the supervisor take advantage on the rank and they don't take it, hence they will always have a lot of [sic] grievances in the DPSA."

In concurring, interviewee DD3 said:

"I think as much as labour relations unit internally advises management on certain areas of issues, ultimately management uses its own prerogative to take certain decisions which may be against the advice by labour relations."

This interviewee further stated:

“Sometimes it’s not taken seriously, that’s why we have a number of disputes because you will give such an advice and it will not be followed or implemented. And I know that when we were doing the assessment or collating data, department used to complain about the interferences from the management side. So, it shows that labour relations unit is not taken seriously whenever they are tendering such an advice.”

There are different perceptions from participants on the advice provided by labour relations officers in the department. Interviewee CD2 said:

“In the DPSA, I’m not sure if there is a full trust in the advice of labour relations unit. There’s groups that feel it’s more in the side of the employer than on the employee. But I also think that it’s not known, there’s no internal communication about labour relations unit advice or there’s no cases...and maybe it’s because DPSA is a small department, there’s no real knowledge of people being disciplined and what the outcomes is or what the involvement of the labour relations was and what advice they gave. So, I know that there’s this two groups, one group that feel that they’re more on the side of the employer and then the others that say that there’s enough...they will trust the advice themselves.”

Participant DDG1, during the interviews, made the following remarks:

“I think that we have not as labour relations unit done very well in [sic] labour relations on advising managers. I think that it is improving simply because we’ve identified lack of advice as a challenge in that managers I think have not been properly advised to understand their management roles broadly but specifically when it comes to managing behaviour and conduct.”

Botha, Schultz, and Bezuidenhout (2018:6) opine that the labour relations practitioner in the South African public service should give advice to line managers on the labour relations policy and ensure a harmonious relationship with unions. In support, Bester

(2019:1) states that the employer should act on good advice or guidance, correction and consultation. Tladi (2021:84) concurs, stating that the labour relations officers across all occupational levels in the government sector are significant role players responsible for representing the employer and managing all internal disciplinary processes in alignment with the tenets of the public service disciplinary code and procedures.

The participants indicated that management's influence is a positive gesture to assist with the finalisation of cases, albeit without interfering with the disciplinary process. The influence is guided by the ethical and moral values in the interest of fair disciplinary management (cf. sec 3.11.6). The labour relations unit's expertise and advice is critical to ensure fairness and compliance to the disciplinary framework (cf sec 3.12.3).

6.3.1.3 Forms of discipline management

This section of the study focuses on the third variable, which defines the qualitative construct of this theme. The forms of discipline constitute a formal and informal disciplinary process (cf sec 3.8 and 3.9). This variable has two sub-variable types of discipline management, which constitutes training and awareness, and precautionary suspension.

Objective of the questions on forms of discipline management: To source information from the interviewees on training and awareness, and precautionary suspensions.

Questions:

- 1) How does training and employee awareness impact on discipline management?
- 2) What impact does precautionary suspension have on discipline management?

Question 1: How does training and employee awareness impact on discipline management?

Response:

Interviewee D3 in this regard said:

“If employees are informed and then they are on par of what is happening and they have an understanding of what is a misconduct, what is a grievance, I think in the department we will have less serious misconduct cases and employees will know [sic] the conduct of the [sic] what is expected of them as employees in the department, in relation to management and in relation to fellow employees, to understand what is not accepted in the workplace so that they may refrain from committing such misconduct, and then that will help enhance even the performance and the relations in the workplace.”

In support, interviewee DD3 stated the following:

“Like you are saying, I have alluded to this, but just emphasise the issues that it then empowers an employee to know their rights whenever they are subjected to a disciplinary hearing, to understand fully what is expected of them and what to expect as well in engaging in that type of a process. Because then it will empower them [sic] it will take away the power from management to influence the outcome when employees are empowered themselves.”

Interviewee CD2 agreed and said:

“I think it’s absolutely cardinal. If you know your rights as a [sic] individual but also as a supervisor, you know the process and you know about alternative dispute resolutions and that, you can better influence your environment for productivity and for service delivery. So, if you don’t give that training or awareness, then people won’t know that. And the training should not only be for the employees but also for management.”

The majority of interviewees mentioned that the managers should be the beneficiary of the training to have a good understanding of their responsibility of discipline management. In this regard interviewee DDG1 said:

“I think it is important because as I said that as an employer you cannot also assume that people know what you expect of them. So, I think training is important on two fronts, because it makes people aware upfront what is required from them and then it also makes the...at the time when you need to take somebody for a formal discipline, you can say with confidence that they were aware of what we expected of them. But I think it’s also important, as I said, using the case of DPSA, so that managers know what is their role on discipline.”

Interviewee DD1, in support said:

“It’s very important and, as I speak to you, as DPSA we have trained about two hundred and seven people in chairing disciplinary hearings and playing the role of initiators, but the training we targeted line managers because, as I’ve said, this process of discipline is for line managers.”

Interviewee DD2 agreed, stating that:

“As you know that before you can be in a position to charge someone or to lay a charge on someone, he must be having knowledge of the act or misconduct that he was not supposed to do it. It’s very important. It’s the principles of lawfulness and fairness. So, by embarking on the trainings process, it assists to have an effective discipline management.”

Skosana and Mukonza (2019:415) state that employee training within an organisation also means that the employee is actually working, as they are learning and they will become more productive as they become more adept. Callaghan (2018:19) argues that regulation and standardised training and professional qualification is a means to relatively standardise performance in the role and limit the potential for differentiation. Joseph-Obi (2019:235) agrees, stating that training and awareness is a remedy to avoid conflicts in workplaces and to assist with the resolution of such conflicts.

Question 2: What impact does precautionary suspension have on discipline management?

Response:

Interviewee CD1 said:

“But in most instances, the person that is put on suspension is automatically disgruntled because it feels like he or she is being found guilty before he can actually even present his case.”

Interviewee DD2, in support said:

“So, precautionary suspension I think it used to punish an individual than just to assist both parties if they will be any interference...”

Interviewee DDG2 agreed, stating that:

“So, for me, from where I’m sitting, these precautionary suspensions in most instances have not added value but have basically disadvantaged or made the disciplinary process...weakened the disciplinary process.”

Interviewee DD3 said:

“it has a negative impact because you find people being placed on precautionary suspension just to get rid of them as a constructive.”

In support, interviewee D3 said the following:

“Precautionary suspension is good when it’s used to avoid contact with those people who are witnesses to a case, but sometimes for me I find it that it is used as a punitive measure to employees.”

Interviewee CD2 stated:

“... we know that discipline management is sometimes used as a weapon to neutralise people to stifle the scent. So, it just really enforces people’s negative perception if it’s not done correctly.”

Interviewee DDG1, in support said:

“So, I think for the purposes that it was intended for it is fine but we have known of examples where that precautionary suspension was used for other reasons other than what it was intended for. So, as long as it’s used for what it’s intended for it’s fine, but the problem becomes when it’s not used...it’s used for other reasons other than the purpose that it was designed to serve in the entire process and value chain of a disciplinary process.”

Interviewee DD1 said:

“If they don’t like you then they will then put you on suspension, which is not the purpose of precautionary suspension.”

Interviewee DD2 said:

“Since I’ve said previously that it takes too long and it impedes on service delivery in terms of it’s not monitored. Whenever an employee is put on precautionary suspension, there’s no monitoring tool as to how long this suspension has taken, is it within the timelines? And there’s a lot of ignorance in terms of compliance with the days or number of days as alluded by the disciplinary code.”

Interviewee DDG3 said:

“This is always a difficult one in my mind. I can understand that you do a precautionary suspension to make sure that people don’t fiddle with witnesses and don’t fiddle with proof, but I also do think it’s got a negative influence on service delivery because you remove somebody from the working place, so there’s a bit of a problem with that. But I also have a problem sometimes with the length of these precautionary suspensions. So, the discipline management says it must happen within ninety days and blah-blah-blah but it never. It’s always long, so it’s costly,

and currently in the economic environment that we're in I think our government can ill afford that."

In support, interviewee CD3 said:

"I think if it's really necessary but I think we're probably just suspending people just too easily, let's call it. The [sic] that you want to suspend somebody if you feel they would negatively influence the environment or even influence the investigations, but I do think putting people on suspensions and then we keep it [sic] for way too long."

Makhuzeni, Barkhuizen, and Maubane (2015:647) suggest that suspension is a disciplinary measure that has serious consequences for employees, and there appears to be a tendency, especially in the public sector, to apply suspension as a measure of first resort, and it is almost automatically imposed where any form of misconduct is alleged. Therefore, this means that departments need to ensure strict adherence to timeframes, and work towards minimising costs relating to employees who are on precautionary suspension. Goldberg and Wilkinson (2019:28) state that the fairness of a precautionary suspension is determined by assessing if there is a fair reason for it and if it prejudices the employee. Tladi (2021:80) mentions that literature records a significant number of decisions relating to the allegedly unlawful suspension of employees, usually public servants.

The above discussion means that training and employee awareness empowers managers and employees on the formal and informal forms of discipline management to be applied on the different types of transgressions. All interviewees were in favour of continuous training programmes to improve performance of discipline management (cf. sec 4.12). Fair disciplinary management dictates that employees are suspended as a precautionary measure where just cause exists, and there is adherence to timeframes (cf. sec 3.8.3).

6.3.1.4 Disciplinary procedure

This section of the study focuses on the fourth variable, which defines the qualitative construct of this theme. The disciplinary procedure is outlined in the PSCBC Resolution 1 of 2003 and Chapter 7 of the SMS Handbook (cf sec 3.6). This variable has one sub-variable which is the fair implementation of the disciplinary framework.

Objective of the questions on discipline procedure: To source information from the interviewees on fair implementation of the disciplinary framework.

Question: What measures should be considered to enhance fair implementation of the disciplinary framework?

Response:

Interviewees DD2, D2, D3, CD1, CD2, DDG1 and DDG3 identified training and awareness campaigns as factors which should be considered to promote fair implementation of the disciplinary framework. Training and awareness advocates how the disciplinary framework should be fairly implemented. In this regard, interviewee CD1 said:

“I think first and foremost it should be to ensure that both managers and employees are trained sufficiently to understand the disciplinary framework so that when the employee steps out of line he would know that it is outside what is the accepted practice, and so that a manager would then also have the understanding through such awareness sessions that this is what the manager needs to implement if the employee then does not comply or conform. So, the measures of training but also continuous awareness to be able to keep people focused on what is the right and what is the wrong, and what is the stick that is going to follow when the wrong is not corrected.”

Interviewee CD3 stated that:

“I think I suppose firstly awareness and people to know exactly what the framework is about, the policy is about, but I think more we need to train managers

and supervisors on what does it take and what does it require to manage staff, give all that management skills. And then discipline is just one of the tools and instruments to their ability. So, I don't think we have good supervision and management skills in the public service."

In support of the above statement, Interviewee D3 said that employees and managers need to be trained, or advocacy provided on discipline management to inculcate understanding and comprehension amongst employees and supervisors. Interviewee D3 said:

"but if as a department we can start there by providing training to say this is what misconduct means, this are the kinds of misconducts, these are the sanctions in terms of what you can use based on the misconduct conducted. From there, we measure in terms of the committed misconduct cases that we receive as labour relations in the department. We use as a dipstick to check how effective are our training."

Interviewee DD3 agreed, stating that it would help to convene workshops and educate employees in order to make implementation of the disciplinary framework effective.

"I think continuous educating of employees is important. For instance, I've never been in any forum where the disciplinary framework was presented and input canvassed from employees."

Interviewees DDG2 and D2 mentioned that a neutral institution is required to monitor implementation and ensure fair application of the disciplinary framework. Interviewee D2 explained as follows:

"Maybe if the Public Service Commissions, can monitor the implementation within the DPSA it can be effective that way."

Interviewee DDG2 said:

"In instances where it is used appropriately, it has been found to be effective, even within the office of the PSC, in the sense that investigations would be conducted

and appropriate sanctions would be issued in relation to the misconduct that an employee would have been found guilty on.”

Interviewees CD3 and DDG3 expressed that cases should be dealt with equally and consistently. Interviewee DDG3 substantiated as follows:

“There I can just say you must implement...for instance, you must implement equally. So, if you’re in the one branch and you’re reprimanded and disciplined for late-coming, that should be the same in the other branch. So, there should be equity in the treatment and the implementation of the disciplinary framework. And I’ve seen that as well. You get one manager that’s very strict and he’ll easily discipline and then other managers that’s not. So, it almost feels like there’s unequal implementation of this framework.”

Interviewee CD3 stated as follows about the procedure:

“It’s crucial because I think it’s very process-driven. So, obviously, if we don’t follow the appropriate process, the effectiveness...the system is not...the policy won’t be effective. So, I think it’s crucial that all managers and supervisors sort of know about the procedures.”

Prins *et al.* (2019:4) states that a positive alliance between policies and their implementation is proper management. Mokomane and Potgieter (2020:3) state that training is the process of assisting employees to gain the required skills to effectively perform the duties and increase their present knowledge. Training provision plays a crucial role as it serves as a form of motivation and an inspiration mechanism for employees to be committed to the organisation. Venter (2016:43) agrees, stating that employers conduct awareness on the implementation of disciplinary framework.

In context, the implementation of the disciplinary framework requires the involvement of a neutral institution (cf. sec 4.29). Common understanding and constant talk between the participants are key to objective disciplinary implementation and management. The roleplayers require an appropriate management process to ensure effectiveness

implementation of disciplinary framework (cf. sec 4.3.2). The managers should ensure that they play their role and avoid unnecessarily shifting responsibilities to other persons.

6.3.1.5 Disciplinary processes

This section of the study focuses on the fifth variable which defines the qualitative construct of this theme. The disciplinary process is outlined in the PSCBC Resolution 1 of 2003 and Chapter 7 of the SMS Handbook (cf sec 3.6). This variable has one sub-variable, which is representation and involvement of employee representatives and managers.

Objective of the questions on discipline processes: To source information from the interviewees on representation and involvement of employee representatives and managers in disciplinary management.

Question: Why is it necessary to involve managers and shop stewards' representation in disciplinary processes?

Response:

All interviewees maintained that managers and shop steward representation is necessary. Interviewee DD3 stated as follows:

"I think it's extremely important to involve both managers as well as the shop stewards in disciplinary processes because the manager would probably be the person that applied the discipline, so it is equally important for the manager as well as the employee to be heard, and of course employee would have the right to representation through a shop steward. That is part of the disciplinary processes. So, I think it's important for both to be involved."

Interviewee CD3 said:

“I think it’s crucial because I think involving the labour is to ensure that it’s fair and that everybody is treated fairly and those things.”

Interviewee DD1 said:

“And others cannot be reminded, others not reminded. I think consistency in applying discipline is going to take us a long way.”

In support, Interviewee D3 mentioned that representation is crucial to maintain discipline and labour peace in the organisation, and ensure that managers and shop stewards work hand in hand. This interviewee stated as follows:

“So, it’s crucial that they both be involved so that the organised labour can see that their members are not treated unfairly. And as managers we must be seen to be also being the advocates for a disciplined work environment but also not forgetting that we also need to build a relationship with organised labour and have a harmonious and peaceful workplace.”

In concurrence, Interviewee DD3 said:

“That is completely necessary because then they act as an audience and as well as the representative of the alleged employee who committed misconduct. So, their participation, their involvement, is highly necessary, extremely necessary, because if they are not involved you find that the influence that we’ve been talking about in the previous question then takes over the disciplinary process. I think that’s the current status which should be maintained. Shop steward should represent the official during the disciplinary process.”

Interviewee DD1 stated that shop stewards are there merely to check the fairness of the disciplinary process. The interviewee maintained that managers do not need shop stewards to perform their function, as this is a management prerogative.

“And shop steward, they represent employees. You are given the parameters that you must operate in by the legislation of a prescripts that you work in. In discipline

in the public service for levels one to twelve you are using the [sic] you are using the old resolution one of two thousand and three which says that the employee has the right to [sic] representation of a fellow employee or union representative, and therefore they must be there. It's a right, it's not an [sic] thing that whether you want to give it to them or not to give it to them. Managers, obvious, it's them that initiate the discipline and therefore they must be. You can't have labour relations running with discipline without managers because you are not going to have witnesses on those issues. It's not a level [sic] function as [sic] initially that managers will push discipline to be labour relations function whereas it's their function supported by your labour relations, like any other corporate services function that HR then support the line manager."

Interviewee DDG1 indicated that the labour representative should be fully conversant with disciplinary processes, in how they represent the employee. A lack of expertise sometimes works against the employee. The interviewee said:

"I think for a manager, it will depend. If the manager is the one that has initiated the disciplinary process, they will have to be involved because they need to provide evidence to substantiate the allegations that they would have against an employee. Shop stewards, I think they are important in as far as they represent the employees that would have been charged."

Interviewee DDG2 said:

"Maybe let me start by saying, remember, often a disciplinary process would be...let's say most disciplinary processes would be initiated on the request of a line function management, because discipline management is a management function which means the supervisor, by and large, would be involved or the overseeing manager and so forth, unless if referring to instances of misconduct that are generally seen within the context of the organisation and on matters where the supervisor does not have direct control over it, if I can put it that way. So, to a greater degree, managers have to be involved as long as they are implicated in the process."

This interviewee DDG2 further said:

“In as far as involving unions is concerned, I think there is really no problem from where I’m sitting because the capacity of different officials to represent themselves differ. The disciplinary process can be a little bit technical and legally [sic] for somebody who does not have labour relations and legal background.”

Interviewee DDG2 further stated the following:

“Let’s say it is absolutely critical because it would address the issues that I alluded to earlier to say every employee from the DG, in some instances you are the employer in another, you are the employee who could be charged with misconduct, but by the same token it is important in understanding that discipline management or the implementation of the disciplinary code is not meant to be punitive but it is meant to be development, corrective.”

Farhm-Arp (2015:16) states that fairness dictates that both parties should have representation at the disciplinary hearing. Maloka and Peach (2016:373) agree that the applicant and respondent are entitled to make representations at the pre-dismissal disciplinary hearing in answer to misconduct allegations. Deon (2015:47) concurs, stating that fairness dictates that there must be regard, for not only the position and interests of the worker, but also those of the employer, in order to make a balanced and equitable assessment.

In summary of the above discussion, representation refers to a right, as prescribed in legislation, to fairness and equal treatment (cf se. 3.11.3). Equal representation at the disciplinary hearing promotes transparency and mutual understanding of the allegations of misconduct. This practice enables the chairperson to make sound decisions and issue fair outcomes commensurate to the charges (cf. sec 3.11.2).

In summary, the qualitative analysis discussed five themes, which are norms and standards, discipline management, forms of discipline, disciplinary procedure, and disciplinary process. These themes are an embodiment of disciplinary management in the public service. The interrelatedness and interdependence of the themes is indicative of the seamlessness of the disciplinary framework (cf sec 2.3.4). The basis for effective disciplinary management is monitoring and evaluation (Wotela, 2017:7; Kabonga, 2020:11; Levin, 2017:139).

6.4 Quantitative analysis

Since the scales in the questionnaire are not validated, and only 109 responses are available, the intention of the statistical analysis is exploratory to provide information for the qualitative analysis. The approach is mainly qualitative and this was used as further information for a qualitative approach. In order to get meaningful factors from the Likert scale of discipline management and the Likert scale statement of disciplinary framework, an exploratory factor analysis (EFA) was done. Thereafter the Cronbach Alpha Coefficient was calculated to assess the reliability of the validated constructs from the EFA.

The questionnaire was developed, and the questionnaire was sent out for completion by participants. Thereafter the statistician analysed the responses of participants. Descriptive statistics, such as percentages and frequencies, were calculated for the biographical information and the Likert scale statements.

6.4.1 Constructs of discipline management

To test the validity of all the constructs (dimensions/factors) in the questionnaire, an exploratory factor analysis was performed to determine if the individual questions loaded (or contributed) onto the constructs as intended in the questionnaire. Factor analysis is a statistical method used to describe variability among observed variables in terms of fewer unobserved variables called factors (the constructs) (Kweyu &

Ngare, 2014:5). In this instance, the Exploratory Factor Analysis (EFA) is used to determine meaningful factors.

The Principal Axis Factoring (PAF) as used to extract the factors, and this was followed by a quartimin (oblique) rotation.

6.4.1.1 Is it viable to conduct Exploratory Factor Analysis for discipline management?

Bartlett's test for Sphericity can be conducted to determine if it is viable to conduct Factor analysis. If the correlation structure between the individual variables (in the Factor Analysis) is too weak, then it is not worthwhile to conduct an EFA. Bartlett's test for sphericity needed to be significant, to indicate the appropriateness of factor analysis for the data (Maree and Arendse, 2019:381). The Kaiser-Meyer-Olkin (KMO) value will provide a measure of the appropriateness of conducting EFA. The KMO value differs between 0 and 1 with 0.5 as a cut-off point to conduct a viable EFA. If the KMO is less than 0.5, then the data will not be suitable for factor analysis (Shokrgozar *et al.*, 2020:61).

Output KMO represents the KMO value of 0.63 is above 0.5 indicates that it is viable to conduct EFA. The p-value of Bartlett's test of Sphericity is smaller than 0.05 indicating significant correlations in the correlation matrix.

6.4.1.2 How many factors/constructs

Firstly, the number of factors from the 55 individual statements (Questions: B1-B55) of "Discipline Management" were determined. To decide on the number of factors the following criteria was used.

- Eigen value > 1
- Cuma % > 60
- Scree plot

These are put in table 6.7 and figure 6.1.

Table 6.7 show that there were thirteen factors which had Eigen values larger than 1, this means that the items/statements may be reduced to 13 factors with 75% of the cumulative variance. The scree plot on Table 6.7 below indicates a possible 7 or 8 factor.

The different factor solutions from 13 factors up to 8 factors was calculated until 3 items at minimum was loading onto each of the factors. This was achieved at 8 factors explaining 63.8% of the cumulative variance.

6.4.1.3 What are these factors/constructs?

The loading of an item indicates the extent to which an individual item loads onto a factor. A value near 1 indicates that an item loads highly on a specific factor. A loading of 0.40 (absolute value) and larger can be considered as meaningful.

For interpretation of the factors/constructs the following will be used that for an item to on a factor an item was said to load on a given factor if the factor loading was 0.40 or greater for that factor and less than 0.40 for the other factors. If an item has loadings of greater than 0.40 on more than one factor the item is 'cross-loading', closer inspection is warranted and a decision made to which factor the item belongs. Cross loadings may be the result of ambiguity in the item/statement.

The individual statements (items) are allocated each of the 3 factors according to their individual factor loadings.

The output shows the factor loadings for the 8 extracted factors.

Table 6.6: Rotated Factor Loading

Item	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5	Factor 6	Factor 7	Factor 8
B17	0.81	-0.1	0	0	0	-0.1	0.03	-0.1

B33	0.72	-0.2	0.17	-0.2	0.13	-0.1	0.14	-0.1
B1	0.68	-0.1	-0.1	0	0	0	0.31	0.16
B37	0.63	0	0.01	0.05	0.23	-0.1	0.13	0.16
B5	0.57	-0.2	0.03	-0.1	-0.1	-0.2	0.34	0.12
B27	0.57	-0.3	0.17	0.15	0	-0.1	0.06	-0.1
B26	0.55	0.1	0.2	0.08	0.03	0.08	-0.2	-0.1
B12	0.54	0.09	-0.2	0.51	-0.1	0.14	0.21	0.13
B38	0.51	0.21	0.43	-0.1	-0.1	0.28	0	-0.2
B32	0.49	-0.4	-0.1	-0.1	0.2	0.16	0.31	-0.2
B18	0.49	-0.3	0.05	0.39	0.06	0.16	0.03	0.17
B55	0.48	-0.2	0.08	-0.2	0.23	-0.3	-0.1	0.17
B3	0.43	-0.5	0.21	-0.1	0.1	0	0.05	0.21
B31	0.36	-0.3	0.28	0.05	0.02	0.12	0.18	-0.3
B41	0.36	-0.3	0.33	-0.3	0.04	0	0.26	0.14
B16	0.11	0.7	0	0.12	0	0.08	-0.2	0.03
B42	-0.2	0.63	0.02	0	0.26	0.15	0.04	-0.2
B51	-0.1	0.56	0.13	0.08	0.1	0.05	0	-0.1
B11	0.01	0.56	0.09	0.35	0.03	-0.1	0	0.13
B6	-0.1	0.5	-0.2	-0.2	0	0.32	0.03	0.06
B50	-0.4	0.48	0.01	0.01	0.26	0.32	0.17	0.15
B36	0.28	0.46	0.36	0.12	0.14	-0.2	0.25	0.05
B30	-0.1	0.02	0.85	0.2	0	0.05	0.04	0.13
B20	-0.1	-0.1	0.79	0.05	0.02	-0.1	0.08	0.02
B15	0.12	-0.1	0.75	-0.1	0	0	-0.1	0.14
B21	0.17	0.25	0.61	-0.2	-0.1	0.24	0	0
B25	0.43	0.17	0.44	0.05	0.03	0.14	-0.3	0
B24	0.16	-0.1	0.34	0.11	0.01	0.27	-0.4	-0.2
B22	0.16	0.13	0.33	0.14	0	-0.5	0.13	0.05
B28	-0.1	0	0.09	0.72	0	-0.2	-0.1	-0.1
B29	0.01	0.1	0.19	0.53	0.03	0.25	0.27	-0.1
B46	0.2	0.06	-0.1	0.43	0.35	0.24	-0.2	0.13
B47	0.1	0.29	-0.3	0.43	0.28	0.12	-0.2	-0.2
B34	-0.3	-0.2	0.39	0.41	0.23	0.09	0.16	-0.2
B23	0.04	0.04	0.15	0.36	0.29	0.01	0	-0.3
B19	-0.1	0.27	0.17	0.3	0.14	0.05	0.23	-0.3
B53	-0.1	-0.2	-0.1	0	0.86	-0.2	0.06	-0.1
B52	0	0.12	0.13	0.09	0.74	0.02	-0.2	0.19
B54	0.33	0.09	-0.2	-0.2	0.65	-0.1	0.16	0
B49	0	0.12	0.25	-0.1	0.5	0.4	0.05	-0.1

B45	-0.1	0	-0.2	0.34	0.39	0.38	0.28	0.01
B48	-0.2	0.28	0.04	0.27	0.34	0.32	0	-0.1
B8	0.02	0	0.25	0.01	-0.1	0.68	0	0.14
B2	0.19	0.22	0	0.35	0.02	0.43	-0.1	0
B4	-0.1	0.27	-0.1	0.39	0.03	0.39	0.16	-0.1
B39	0.16	0.12	0.13	0.14	0.21	0.33	-0.1	-0.3
B13	-0.1	0.32	-0.1	0.26	0.09	0.32	-0.2	-0.2
B35	0.27	0.28	0.13	0.1	0.09	-0.1	0.58	0.14
B10	0.08	-0.2	-0.3	0	0.2	0.04	0.52	0.25
B43	0.27	-0.3	0.16	0	-0.2	0	0.5	-0.2
B44	-0.1	0.11	0.15	0.18	0.11	0.43	0.45	-0.3
B7	0.15	0	0.06	0.14	-0.1	0.02	0.1	0.71
B40	-0.2	0.1	0.18	-0.1	0.07	0.3	-0.2	0.63
B14	-0.1	-0.1	0.11	-0.2	0.05	-0.1	0.22	0.48
B9	0.25	-0.6	0.1	0.07	0.06	0.15	0	0.27

Suppress Absolute Loading Value Less Than 0.35
Dim Text0.4

Table 6.6 shows the eight factor items which were considered and are with the loading of more than 0.40. The item is the question number as contained in the questionnaire. A number of items were clustered and constitute a factor. These were the eight factors identified:

Factor 1 Compliance: consist of items B17 = 0.81, B33 = 0.72, B1 = 0.68, B37 = 0.63, B5 = 0.57, B27 = 0.57, B26 = 0.55, B12 = 0.54, B38 = 0.51, B32 = 0.49, B18 = 0.49, B55 = 0.48, B3 = 0.43, B25 = 0.43.

Factor 2 Delegations of authority: consist of items B16 = 0.7, B42 = 0.63, B51 = 0.56, B11 = 0.56, B6 = 0.5, B50 = 0.48, B36 = 0.46.

Factor 3 Management: consist of items B38 = 0.43, B30 = 0.85, B20 = 0.79, B15 = 0.75, B21 = 0.61, B25 = 0.44.

Factor 4 Monitoring and evaluation: consist of items B12 = 0.51, B28 = 0.72, B29 = 0.53, B46 = 0.43, B47 = 0.43, B34 = 0.41.

Factor 5 Investigation: consist of items B53 = 0.86, B52 = 0.74, B54 = 0.65, B49 = 0.5.

Factor 6 Representation: consist of items B49 = 0.4, B8 = 0.68, B2 = 0.43, B44 = 0.43.

Factor 7 Advice: consist of items B35 = 0.58, B10 = 0.52, B43 = 0.5, B44 = 0.45.

Factor 8 Interference: consist of items B7 = 0.71, B40 = 0.63, B14 = 0.48.

Esterhuizen and Martins (2016:6) state that exploratory factor analysis is appropriate when the objective of performing the factor analysis is to achieve data reduction into a smaller number of components and to identify the structure among the set of variables. Ehlers and Jordaan (2016:2) state that an exploratory factor analysis confirms the existence of the relationship between items with an indication of the highly desirable factor loadings. Mannie, Van Niekerk, and Adendorff (2013:5) state that in order to determine how many factors to extract, a combination of several criteria, namely the Eigenvalues, the percentage of variance criterion, and the scree test criterion is used.

Table 6.7: Factor Eigen Value

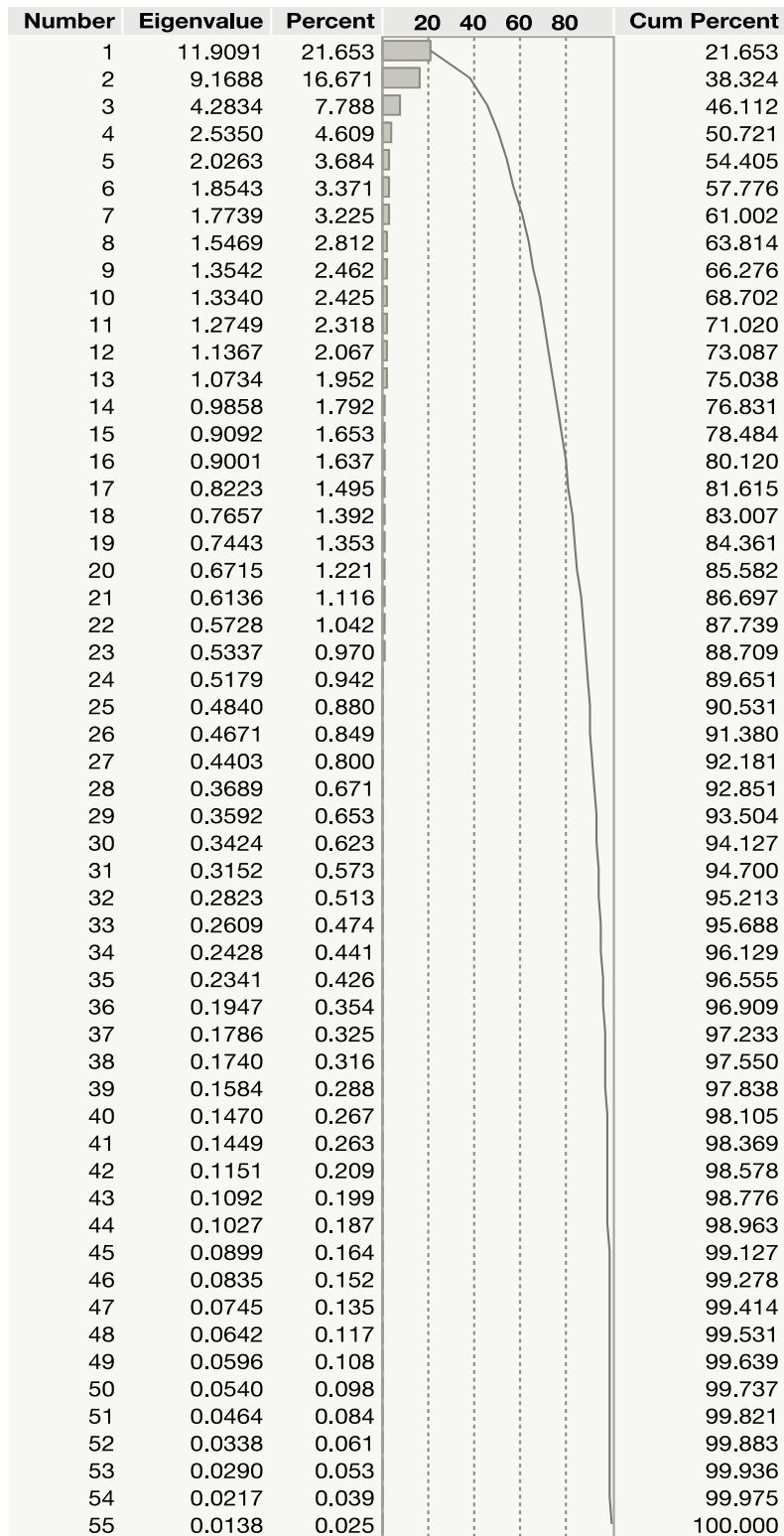
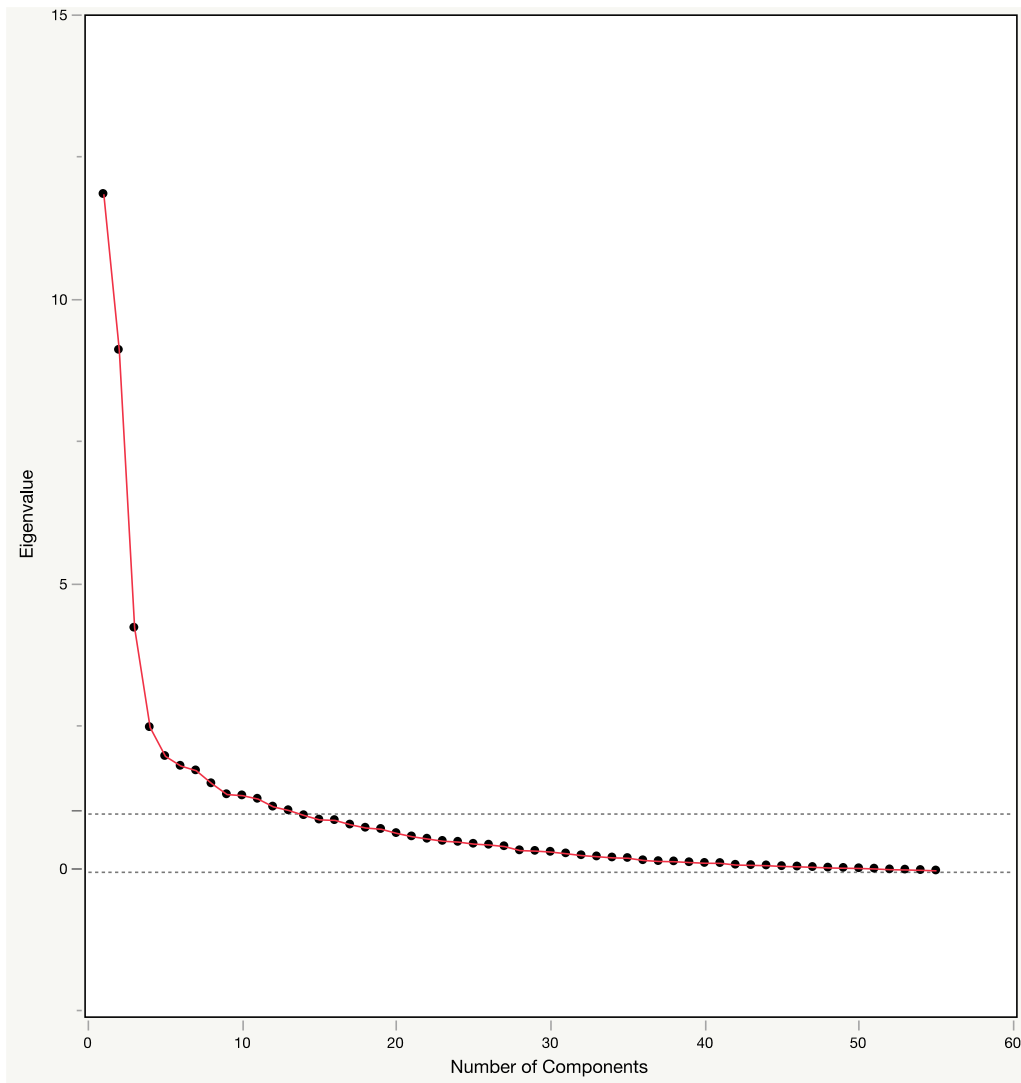


Figure 6.1: Eigenvalue graph



This was achieved at 8 factors explaining 63.8% of the cumulative variance. Therefore, 8 factors were used for the rotation, and these are compliance, delegation, management, monitoring, investigation, representation, advice, and interference.

Wiles, Paterson and Meaker (2009:71) state that principal components showing a significant relationship with or variance from the original variable will have Eigen values of greater than 1.0. Kruger (2021:11) states that if the components have an Eigen value of one or greater, the cumulative variance criterion is used in the report on the cumulative variation explained by the proposed components. Baradyana (2003:15)

states that to be able to pick up the sufficient factors from several components, factor loadings in every component may be determined using Eigen values.

6.4.2 Reliability of the items of the factors or constructs

When reporting more than one construct, researchers typically report the reliability of a scale (consisting of constructs). Table 6.9 reports simple descriptive statistics for the study's variables. The Cronbach's Alpha (coefficient alpha) estimates and detail of Cronbach Alpha analysis are reported in Appendix I.

Table 6.8: Reliability of constructs of discipline management

Constructs	Items	Items left out	Cronbach Alpha coefficient	Reliability interpretation	Skewness
Compliance	17,33,1,37,5,27,26,18,55	None	0.90	Good	0.001
Delegation	16,42,51,11,6,36,9r	None	0.78	Reliable	0.45
Management	30,20,15,21	None	0.84	Good	-0.62
Monitoring	28,29,46,47,34	None	0.75	Reliable	-0.45
Investigation	52,53,54	None	0.73	Reliable	-0.74
Representation	22r,8,2	None	0.43	not reliable	
Advice	24r,35,10,43	None	0.53	not reliable	
Interference	7,40,14	None	0.51	not reliable	

r indicates negatively stated items

Table 6.8 shows information, which consists of items that are part of the first construct, items left out, the Cronbach Alpha coefficient, interpretation of reliability (good) and skewness.

The last 3 factors, which are representation, advice, and interference are not reliable, as such, construct scores cannot be calculated.

When reliability estimates are computed for a relatively large number of constructs, it is common to report them in a table such as the above, and make only passing reference

to them within the text of the paper when within acceptable parameters. The typical example is that in estimates of internal consistency, as measured by Cronbach's alpha coefficient, the first five factors, i.e. compliance, delegation, management, monitoring, and investigation all exceeded 0.60, indicating reliability and are reported on.

The constructs, except the last 3 mentioned, are found to be reliable; therefore, a single score may be determined for each construct by calculating the average of the individual items/statements.

Ehlers (2016:756) states that Cronbach's alpha coefficient is calculated to determine internal reliability and consistency of questionnaire items. Burger, Rossouw, Smith, and Ranchod (2016:197) state that monitoring, validation and triangulation of quality indicators is crucial to ensure reliability and credibility. Meyer and Synodinos (2019:12) state that the Cronbach's alpha measurement instrument scales possess acceptable internal-consistency reliability.

6.4.3 Computing factor-based scores

The score for Factor 1 (compliance) is calculated as follows:

Information received score = (B17,B33,B1,B37,B5,B27,B26,B18,B55)/9.

The score must be interpreted as follows: a mean score towards 1 indicate disagreement and a score towards 5 indicated agreement (1=Strongly disagree 2=disagree 3=Uncertain 4=Agree 5=Strongly agree).

Factor or construct scores were calculated by taking the average of the items that loaded onto that factor (and were reliable) for each participant.

According to Mngoma, Fergus, Jeeves and Jolly (2016:1212), higher scores reflect higher self-esteem. Masana and Muriithi (2016:20) state that shared pool of configurable computing resources can be rapidly provisioned and released with minimal

management effort or service provider interaction. Noorbhai and Noakes (2019:8) state that although an individual high score may not be an indicator for success, the observed pattern does support the idea that batsmen with a lateral batting backlift technique (LBBT) might be able to score runs more rapidly than batsmen with a straight batting backlift technique (SBBT).

6.4.4 Descriptive statistics

Descriptive statistics, such as the mean and median, were calculated for the constructs. A Higher mean score would indicate agreement or importance.

Table 6.9: Descriptive statistics for discipline management

Constructs	N	Mean	Rank
Monitoring score	109	3.69	1
Investigation score	109	3.59	2
Delegation score	109	3.54	3
Management score	109	3.50	4
Compliance score	109	3.08	5

Table 6.9 depicts the descriptive statistics which show that compliance is towards uncertain (3) while the rest of the constructs are between neutral and agree (4).

The agreement and disagreement percentages were summed to collapse the scale from a 5 point to a 3 points scale. In order to inspect individual statement, the frequencies and percentages were calculated and are presented in 6.4 below.

Ramulumisi, Schultz, and Jordaan (2015:517) state that descriptive statistics are performed to determine the perceptions of participants on the factors. In support, Richardson, Farrington and Venter (2018:13) state that descriptive statistics were calculated to summarise the sample data. Mupawose and Karani (2020:4) state that descriptive analysis uses total scores, impact scores, and severity ratings.

The above discussion shows that contracts assisted the study to determine validity and accuracy of factors that were used in the analysis. The validity and accuracy of factors should be applied for consistency for the determination of reliable scores (Lubuschagne and Theron, 2018:1). The reliable scores are the outcome of the computed and calculated results of the Likert scale. A descriptive statistical analysis was used to give meaning to the total scores.

6.5 Factors of cumulative variance for section b questionnaire

The tables below show the 8 factors of cumulative variance which are derived from section B of the questionnaire. These factors are compliance, delegations of authority, management, monitoring and evaluation, investigation, representation, advice and interference.

6.5.1 Compliance

Table 6.10: Compliance

Item No	Statement	Disagree%	Neutral%	Agree%
B1	My Department finalise disciplinary cases within 90 days.	34.86%	30.28%	34.86%
B5	My Department finalise investigation of precautionary suspensions cases within 60 days.	35.78%	36.70%	27.52%
B17	Similar acts of misconduct generally receive the same sanction.	31.19%	36.70%	32.11%
B18	My Department refer disciplinary cases to the Bargaining Council to appoint an arbitrator/commissioners as the chairperson of the disciplinary hearing.	5.50%	53.21%	41.28%
B26	I am able to access reports on the outcome of the disciplinary processes.	22.02%	29.36%	48.62%
B27	All disciplinary cases are dealt with fairly in accordance with the provisions of the Disciplinary Code and Schedule 8 of the Labour Relations Act.	31.19%	29.36%	39.45%
B33	I am satisfied with the labour relations advice during hearings.	26.61%	31.19%	42.20%
B37	I participate in the disciplinary policy-making policymaking processes of the Department.	36.70%	17.43%	45.87%
B55	Disciplinary reports are published/issued quarterly.	34.86%	31.19%	33.94%

Table 6.10 show items which form the Compliance Factor. Item B1 constitute 34.86% participants who agree that the department finalises disciplinary cases within 90 days, 34.86% disagreed, and 30.28% remained neutral. Item B5 constitute 27.52% participants who agree that the department finalises the investigation of precautionary

suspensions cases within 60 days, 35.78% disagreed and 36.70% remained neutral. Item B17 constitute 32.11% participants who agree that similar acts of misconduct generally receive the same sanction, 31.19% disagreed and 36.70% remained neutral. Item B18 constitutes 41.28% participants, who agreed that the department refers disciplinary cases to the bargaining council to appoint an arbitrator/commissioners as the chairperson of the disciplinary hearing, 5.50% disagreed and 53.21% remained neutral.

Item B26 constitutes 48.62% participants, who agreed that they are able to access reports on the outcome of the disciplinary processes, 22.02% disagreed, and 29.36% remained neutral. Item B27 constitutes 39.45% participants, who agreed that all disciplinary cases are dealt with fairly in accordance with the provisions of the Disciplinary Code and Schedule 8 of the Labour Relations Act, 31.19% disagreed and 29.36% remained neutral. Item B33 constitutes 42.20% participants who agreed that they are satisfied with the labour relations advice during hearings, 26.61% disagreed and 31.19% remained neutral. Item B37 constitutes 45.87% participants who agreed that they participate in the disciplinary policy-making processes of the department, 36.70% disagreed and 17.43% remained neutral. Item B55 constitutes 33.94% participants who agree that disciplinary reports are published/issued quarterly, 34.86% disagreed and 31.19% remained neutral.

Dare (2020:5) states that penalties, which are derived from audits, have a positive effect and are measures which reduce non-compliance. Fulele and Kadama (2016:528) agree, stating that where appropriate legislative framework and policies are in place, enforcement measures are required to ensure compliance. Iyamu and Ngqame (2017:5) concur that compliance is useful in reducing uncertainty within an organisation and helps to improve decision-making among individuals and the collective during societal activities.

The results show deficiencies in compliance with the reporting requirements to ensure fair implementation of the disciplinary policy (cf. sec 2.5). The Code of Good Practice

enshrined in the Labour Relations Act, 66 of 1995 constitutes a statutory disciplinary policy (cf sec 3.6.2). Compliance to the disciplinary framework ensures that cases are finalised within the prescribed timeframe of 90 days, investigations where employees are suspended as a precautionary measure are finalised within 60 days, and appeals are finalised with 30 days (cf. sec 3.4). Most often the utilisation of external capacity promotes fairness and is consistent with the prescripts (cf. sec 3.9.2). The disciplinary reports are not sufficiently published, which impacts on transparency and trust on the labour relations matters (cf. sec 3.11.11).

Since the department is non-compliant to the prescribed policy, it means that employees stay on suspension longer, which impacts on the prescribed period to finalise cases. This does not only have financial implications to the state, but also on service delivery for the department and dissatisfaction of stakeholders (cf. sec 3.13.1)

6.5.2 Delegations of Authority

Table 6.11: Delegation of authority

Item No	Statement	Disagree%	Neutral%	Agree%
B6	Management may influence the decision of the chairperson of a disciplinary hearing.	18.35%	31.19%	50.46%
B9	My Department appoints chairpersons who are a rank higher than the departmental representative.	32.11%	36.70%	31.19%
B11	My Department use internal officials as departmental representatives at the disciplinary hearing.	13.76%	23.85%	62.39%
B16	All appeals are considered by the Minister of the Department.	9.17%	33.03%	57.80%
B36	I am familiar with the disciplinary policy of the Department.	12.84%	17.43%	69.72%
B51	The suspension must be uplifted upon the expiry of the 60 days prescribed period.	55.96%	34.86%	9.17%

Table 6.11 shows items which form the Delegation of Authority Factor. Item B6 constitutes 50.46% participants who agree that management may influence the decision of the chairperson of a disciplinary hearing, 18.35% disagreed, and 31.19% remained neutral. Item B9 constitutes 31.19% participants who agree that the department appoints chairpersons who are a rank higher than the departmental representative, 32.11% disagreed, and 36.70% remained neutral. Item B11 constitutes 62.39%

participants who agreed that the department uses internal officials as departmental representatives at the disciplinary hearing, 13.76% disagreed and 23.85% remained neutral. Item B16 constitutes 57.80% participants who agree that all appeals are considered by the Minister of the Department, 9.17% disagreed, and 33.03% remained neutral. Item B36 constitutes 69.72% participants who agreed that they are familiar with the disciplinary policy of the Department, 12.84% disagreed, and 17.43% remained neutral. Item B51 constitutes 55.96% participants who disagreed the suspension must be lifted upon the expiry of the 60 days prescribed period, 9.17% agreed and 34.86% remained neutral.

De Bruyn and Sotshononda (2017:148) suggest that the delegations of authority at management level result in line management adhering to internal expert advice, which inevitably leads to limited disputes. Curlewis (2016:35) states that the starting point for the delegations of authority should always be the relevant legislation. Masegare (2018:142) mentions that the roles and responsibilities are defined in the delegations of authority.

The delegations of authority assist the employer to finalise cases expeditiously, which contributes to the success of the organisation (cf sec 2.12.1). The results show that the absence of delegations gives room for management's influence of the decision and outcome of the disciplinary process. The view that the department is highly dependent on the internal capacity to chair a disciplinary hearing is a motivation for explicit delegations to ensure uniformity and the consistent application of discipline. The delegations of authority address the challenge of decision-making and implementation of directives, in that managers are assigned responsibilities. There is consequence management for failure to take accountability.

While the authority to deal with appeals is vested with the Minister, it is critical for effective management and prompt finalisation of disciplinary cases that such authority is further delegated. The delegated authorities are legally entrusted with the responsibility

to ensure compliance, and that should automatically result in the finalisation of cases within the prescribed timeframes (cf. sec 2.12.4).

6.5.3 Management

Table 6.12: Management

Item No	Statement	Disagree%	Neutral%	Agree%
B15	I am allowed to lodge an appeal if dissatisfied with the outcome and/or sanction of the hearing.	16.51%	16.51%	66.97%
B20	As a manager, I get involved in the disciplinary processes of my subordinates.	19.27%	33.03%	47.71%
B21	Shop stewards understand and execute their roles during the disciplinary processes.	15.60%	29.36%	55.05%
B30	As a manager, I am responsible for managing discipline of my subordinates.	12.84%	22.02%	65.14%

Table 6.12 shows items which form the management factor. Item B15 constitutes 66.97% of participants who agreed that they are allowed to lodge an appeal if dissatisfied with the outcome and/or sanction of the hearing, 16.51% disagreed and 16.51% remained neutral. Item B20 constitutes 47.71% participants who agreed that managers get involved in the disciplinary processes of subordinates, 19.27% disagreed, and 33.03% remained neutral. Item B21 constitutes 55.05% who agree that shop stewards understand and execute their roles during the disciplinary processes, 15.60% disagreed, and 29.36% were uncertain. Item B30 constitutes 65.14% participants who agreed that managers are responsible for managing the discipline of their subordinates, 12.84% disagreed, and 22.02% remained neutral.

The above results show that employees are allowed to lodge appeals; however, this does not suggest that appeals are well managed in the department. This assertion is informed by confirmation of non-compliance to the disciplinary framework and a lack of discipline management delegations. The involvement of managers in disciplinary processes is critical for ensuring fairness and the consistent application of discipline management (cu sec 3.12.3). The respect for employee rights is consistent with the Bill

of Rights, Chapter 2, enshrined in the Constitution, which promotes effective management of discipline at the workplace. Section 23(1) of the Constitution states that everyone has the right to fair labour practices (cf. sec 3.6.1).

Since the exercise of rights is key to a fair disciplinary process, supervisors and managers are the main stakeholders for the coordination of effective disciplinary outcomes. Poor coordination results in legal challenges of the procedure followed and causes delays in the finalisation of cases (cf. sec 2.7.5).

6.5.4 Monitoring and evaluation

Table 6.13: Monitoring and evaluation

Item No	Statement	Disagree%	Neutral%	Agree%
B28	Disciplinary actions are used to manage discipline.	8.33%	22.22%	69.44%
B29	Progressive discipline (reprimand, counselling and warnings) is applied.	4.59%	28.44%	66.97%
B34	I am allowed representation by my union during the disciplinary hearing.	5.50%	14.68%	79.82%
B46	The setting of discipline performance standards is a necessary tool to influence management decision.	4.59%	32.11%	63.30%
B47	The Monitoring Performance Assessment Tool (MPAT) assist to improve the standard of discipline management in the Department.	5.50%	34.86%	59.63%

Table 6.13 shows items which form the monitoring and evaluation factor. B28 constitutes 69.44% of participants who agreed that disciplinary actions are used to manage discipline, 8.33% disagreed and 22.22% remained neutral. Item B29 equals to 66.97% of participants who agreed that progressive discipline (reprimand, counselling and warnings) is applied in the department, 4.59% disagreed and 28.44% remained neutral. Item B34 constitute 79.82% of participants who agreed that they are allowed representation by the union during the disciplinary hearing, 5.50% disagreed and 14.68% remained neutral. Item B46 constitute 63.30% participants who agreed that the

setting of discipline performance standards is a necessary tool to influence management decision, 4.59% disagreed and 32.11% remained neutral. Item B47 constitute 59.63% participants who agree that the Monitoring Performance Assessment Tool (MPAT) assist to improve the standard of discipline management in the department, 5.50% disagreed and 34.86% remained neutral.

Drotskie and Okanga (2015:380) state that monitoring and evaluation involve the identification of issues of concern, policy decisions, determining outcomes to be achieved, and measuring whether such outcomes are being achieved. Maleka, Schneider, De Coning and Keim (2017:227) mention that monitoring and evaluation involve a systematic collection and analysis of data to provide information about the relationship between the objectives, inputs, activities, outputs, anticipated outcomes and impact in achieving a goal of a given programme. Sambumbu and Okanga (2016:873) agree, stating that monitoring and evaluation enable public sector executives and managers to reach conclusions on whether the implementation of a particular programme has been successful.

The availability of a disciplinary management monitoring and evaluation tool promotes good and ethical conduct by the employees. Monitoring and evaluation allow for the early detection of employee conduct and ensure that the performance management and improvement measures are in place (cf. sec 4.27). MPAT has proven to be an effective tool to monitor and improve the standard of performance for disciplinary management. The act of subjecting employees to disciplinary action as a form of monitoring and evaluating is inconsistent with the spirit of the disciplinary code and procedure (cf. sec 3.13.4).

The above implies that since discipline management requires constant monitoring and evaluation to ensure improvement, the discontinuation of MPAT has a negative impact on the performance standard and service delivery (cf. sec 3.13.4). The absence of a monitoring and evaluation mechanism compromises accountability and discipline in the department and the broader public service (cf. sec 4.26).

6.5.5 Investigation

Table 6.14: Investigation

Item No	Statement	Disagree%	Neutral%	Agree%
52	The precautionary suspension is a necessary measure to stabilise the work environment while the investigation is being conducted.	5.50%	24.77%	69.72%
53	Unions must be involved at the onset during the investigation to get first-hand information on the allegations against their members.	11.93%	24.77%	63.30%
54	The union must take action against a member who is guilty of misconduct or wrongdoing.	15.60%	31.19%	53.21%

Table 6.14 shows items which form the investigation factor. Item B52 constitutes 69.72% of participants who agreed that the precautionary suspension is a necessary measure to stabilise the work environment while the investigation is been conducted, 5.50% disagreed and 24.77% was uncertain. Item B53 constitutes 63.30% of participants who agreed that unions must be involved at the onset during the investigation to get first-hand information on the allegations against their members, 11.93% disagreed, and 24.77% was uncertain. Item B54 constitutes 53.21% of participants who agreed that the union must take action against a member who is guilty of misconduct or wrongdoing, 15.60% disagreed, and 31.19% was uncertain.

Mulligan and Horn (2020:23) state that although any disciplinary process usually involves an investigation and analysis of evidence, it is highly unusual for employers to involve their customers in such disciplinary proceedings. In some instances, the commencement of a disciplinary investigation may compromise or undermine evidence which is relevant to a police investigation (Snell, 2015:27). Khumalo (2020:656) agrees, stating that the nature of the offence could in itself justify a longer period of further investigation, or a longer period in collating and preparing proper evidence, thus causing a delay that is understandable.

The investigation is the necessary tool to promote justice for sound disciplinary management at the workplace. The involvement of employee representative at the onset of the investigation process allows for fair assessment of the allegations and prevents disputes. The joint investigation should assist the employer and union to uproot and deal decisively with acts of misconduct against employees and members of unions. This joint effort should form the basis of sound employment relationships at the workplace (cf. sec 3.8.4).

Since the employee takes the centre stage and is a subject of interest for the employer and the union, this means that the department and the unions should work together during the investigation of allegations of misconduct (cf. sec 3.11.2).

6.5.6 Representation

Table 6.15: Representation

Item No	Statement	Disagree%	Neutral%	Agree%
B2	My Department utilise suspension of employees as precautionary measure during an investigation.	0.92%	24.77%	74.31%
B8	My Department use officials from other departments within the public service to chair the disciplinary hearings.	9.17%	44.95%	45.87%
B22	Shop stewards are trained in discipline management.	19.27%	44.04%	36.70%

Table 6.15 shows items which form the representation factor. Item B2 constitutes 74.31%, with participants who agreed that the department utilises suspension of employees as a precautionary measure during an investigation, 0.92% disagreed, and 24.77% remained neutral. Item B8 constitutes 45.87% participants who agreed that the department uses officials from other departments within the public service to chair the disciplinary hearings, 9.17% disagreed and 44.95% remained neutral. Item B22

constitute 36.70% participants who agreed that shop stewards are trained in discipline management, 19.27% disagreed, and 44.04% remained neutral.

Venter (2017:1) mentions that consideration should be made to requests from the union to represent the shop steward if one opts for disciplinary action. Bobat, Reuben, and Devar (2020:5) state that when individuals represent or define something in a certain way, they are creating a form of knowledge that brings a form of power. Gathongo (2020:559) states that an employee is entitled to representation when the employer explains the termination of their employment.

The overwhelming response suggests that the department uses precaution suspension during investigation for ulterior motives, and do not consider employee representation (cf. sec 3.8.3). Employees are required to make representation on why they should not be suspended as a means of observing the rules of natural justice. The use of officials from other departments is good for a representative process that is open to external evaluation and allows employee representation by shop stewards. Competent shop stewards comprehend and assist disciplinary management with meaningful employee representation (cf. sec 3.11.2).

It is clear from the above that training of shop stewards is critical for effective representation, and to circumvent the abuse of precautionary suspension under the pretext of discipline management. Trained shop stewards will discharge their responsibility competently and instil objective decisions by chairpersons of the disciplinary hearing (cf. sec 4.12).

6.5.7 Advice

Table 6.16: Advice

Item No	Statement	Disagree%	Neutral%	Agree%
B24	Labour relations practitioners are fully involved with the disciplinary processes.	6.42%	33.03%	60.55%

B35	I attend labour relations training sessions/ workshops.	23.85%	36.70%	39.45%
B42	Warnings are used as a form of correcting the conduct of employees.	1.83%	31.19%	66.97%
B43	Appeals are dealt with within the prescribed timeframe of 30 days.	35.78%	33.94%	30.28%

Table 6.16 shows items which form the advice factor. Item B24 constitutes 60.55% of participants who agree that labour relations practitioners are fully involved with the disciplinary processes, 6.42% disagreed, and 33.03% remain neutral. Item B35 constitutes 39.45% participants who agree that they attend labour relations training sessions/ workshops, 23.85% disagreed and 36.70% remain neutral. Item B42 equals to 66.97% of participants who agreed that warnings are used as a form of correcting the conduct of employees, 1.83% disagreed, and 31.19% remain neutral. Item B43 constitutes 30.28% participants who agree that appeals are dealt with within the prescribed timeframe of 30 days, 35.78% disagreed, and 33.94% remain neutral.

Tladi (2021:84) mentions that labour relations officers across all occupational levels in the government sector are significant role players responsible for representing the employer and managing all internal disciplinary processes in alignment with the tenets of the public service disciplinary code and procedures. Matlou (2016:547) states that labour practitioners and others involved in labour relations work have a duty to engage in social justice matters, to promote and defend it so that the majority of people will feel that the law is meaningful to them too.

The success of the disciplinary process is dependent on the advice and support of labour relations practitioners (cf. sec 3.12.2). The labour relations practitioners play an oversight responsibility to ensure effectiveness of discipline management. Labour relations advice is necessary to ensure that the employer considers progressive discipline. The sound advice assists with the prompt finalisation of disciplinary and appeal cases (cf sec 3.12.3).

The above implies that advice is a necessary measure in the disciplinary process for the enhancement of the progressive discipline which is aimed at the speedy finalisation of cases. Progressive discipline is a relationship building exercise which involves advice from stakeholders, and delegations of authority are an enabling condition for successful implementation (cf. sec 3.8.1).

6.5.8 Interference

Table 6.17: Interference

Item No	Statement	Disagree%	Neutral%	Agree%
B40	There is political interference with the disciplinary process.	18.35%	39.45%	42.20%
B7	My Department use consultants to chair the disciplinary hearings.	21.10%	54.13%	24.77%
B14	My Department use lawyers as employer representative at the disciplinary hearing.	22.94%	42.20%	34.86%

Table 6.17 show items which form the interference factor. Item B40 constitutes 42.20% participants who agreed stating that there is political interference with the disciplinary process, 18.35% disagreed and 39.45% remain neutral. Item B7 constitutes 24.77% where participants agree that the department use consultants to chair the disciplinary hearings, 21.10% disagreed and 54.13% remain neutral. Item B14 constitutes 34.86% participants who agree that the department use lawyers as employer representative at the disciplinary hearing, 22.94% disagreed and 42.20% remain neutral.

Omar (2020:8) states that mechanisms of accountability should ensure that prosecutors are free to perform their functions without interference from any arm of government. Tladi (2021:89) states that many service delivery problems result from questionable practice of deployment, and as such, interference with government processes should be discouraged. According to Dube (2016:47), the court emphasised that the established law which disallows an employer from interfering in the outcome of a disciplinary hearing where the chairperson has the power to make a final decision, has, as its aim,

the protection of workers from arbitrary interference with discipline in a fair system of labour relations.

The results show interference with the disciplinary outcome by the department and that the disciplinary process is intricate and participants were not certain about the use of lawyers and consultants. The use of outside chairpersons and employer representatives creates room for interference in pursuit of ulterior interests. Interference amounts to delays in the finalisation of disciplinary cases and the abuse of state resources, of which attempts should be made to prevent it (cf. sec 3.8.4).

Since disciplinary management is an internal process, the use of lawyers and consultants perpetuate interference and their decisions are most often influenced by the cost factor and the satisfaction of the client (cf. sec 3.11.8). The involvement of lawyers and consultants impede progress and cast doubts on the objectivity of the disciplinary process (cf. sec 3.11.3).

In summary, the eight factors discussed above are uncovered by the study as critical for the Department of Public Service and Administration to pay attention thereto. The disciplinary management model provides a detailed intervention and solution to deal with challenges outlined in the results of each factor.

6.6 Section B: analysis of individual statements

Table 6.18 shows the disagreement, uncertain or neutral, and agreement item percentages. Item B13 has the highest percentage of 79.82%, where participants agreed that the department allows employees to be represented by shop stewards during the disciplinary process, 5.50% disagreed and 14.68% remained neutral. Item B34 constitutes 79.82% of participants who agreed that they are allowed representation by the union during the disciplinary hearing, 5.50% disagreed, and 14.68% remained neutral. This is followed by B23, with 77.06% of participants who agreed that employees are made aware of their rights when disciplinary action is instituted against them, 5.50% disagreed and 17.43% remained neutral. Item B2 constitutes 74.31%, with participants

who agreed that the department utilises suspension of employees as a precautionary measure during an investigation, 0.92% disagreed, and 24.77% remained neutral. Item B49 constitutes 70.64% of participants who agreed that they prefer the informal disciplinary process on less serious acts of misconduct, 8.26% disagreed and 21.10% remained neutral.

Item B36 constitutes 69.72% of participants who agreed that they are familiar with the disciplinary policy of the Department, 12.84% disagreed, and 17.43% remained neutral. Item B39 constitutes 69.72% of participants who agreed that the head of department approves the decision of a chairperson of the hearing, 0.92% disagreed, and 29.36% remained neutral. Item B52 constitutes 69.72% of participants who agreed that precautionary suspension is a necessary measure to stabilise the work environment while the investigation is being conducted, 5.50% disagreed and 24.77% remained neutral. Item B28 constitutes 69.44% of participants who agreed that disciplinary actions are used to manage discipline, 8.33% disagreed, and 22.22% remained neutral. Item B45 constitutes 67.89% of participants who agreed that appropriate disciplinary action must be considered against managers who fail to maintain discipline in their respective units, 5.50% disagreed, and 26.61% remained neutral.

In further agreement, 66.97% of participants in B15 agreed that they are allowed to lodge an appeal if dissatisfied with the outcome and/or sanction of the hearing, 16.51% disagreed, and 16.51% remained neutral. In item B29 66.97% of participants agreed that progressive discipline (reprimand, counselling and warnings) is applied in the department, 4.59% disagreed, and 28.44% remained neutral. Item B42 constitutes 66.97% of participants who agreed that warnings are used as a form of correcting the conduct of employees, 1.83% disagreed, and 31.19% remained neutral. Item B30 constitutes 65.14% of participants who agreed that managers are responsible for managing the discipline of their subordinates, 12.84% disagreed, and 22.02% remained neutral. Item B4 constitutes 64.22% of participants who agreed that the department implements precautionary suspension with full salary, 3.67% disagreed, and 32.11% remained neutral. Item B46 constitutes 63.30% of participants who agreed that the

setting of discipline performance standards is a necessary tool to influence management decision, 4.59% disagreed, and 32.11% remained neutral.

Item B53 constitutes 63.30% of participants who agreed that unions must be involved at the onset during the investigation to get first-hand information on the allegations against their members, 11.93% disagreed, and 24.77% remained neutral. Item B11 constitutes 62.39% participants who agreed that the department uses internal officials as departmental representatives at the disciplinary hearing, 13.76% disagreed and 23.85% remained neutral. Item B19 constitutes 60.55% participants who agree that they understand the steps that would be taken against them when they are disciplined, 8.26% disagreed, and 31.19% remained neutral. Item B24 constitutes 60.55% participants who agree that labour relations practitioners are fully involved with the disciplinary processes, 6.42% disagreed, and 33.03% remained neutral.

Item B47 constitutes 59.63% participants who agree that the Monitoring Performance Assessment Tool (MPAT) assist to improve the standard of discipline management in the department, 5.50% disagreed, and 34.86% remained neutral. Item B48 constitutes 59.63% participants who agree that progressive discipline assist to improve the conduct of an employee, 7.34% disagreed and 33.03% remained neutral. Item B16 constitutes 57.80% participants who agree that all appeals are considered by the Minister of the Department, 9.17% disagreed, and 33.03% remained neutral. Item B44 constitutes 57.80% participants who agree that monitoring and evaluation outcomes assist to improve the standard of discipline management, 11.01% disagreed and 31.19% remained neutral. Item B38 constitutes 56.88% participants who agree that human resources (HR) implements the decisions of the chairperson of the hearing, 11.01% disagreed and 32.11% remained neutral. Item B25 constitutes 55.96% participants who agree that labour relations practitioners provide an advisory service during the disciplinary processes, 17.43% disagreed, and 26.61% remained neutral.

Item B51 constitutes 55.96% participants who agree the suspension must be uplifted upon the expiry of the 60 days prescribed period, 9.17% disagreed and 34.86%

remained neutral. Item B21 constitutes 55.05% who agree that shop stewards understand and execute their roles during the disciplinary processes, 15.60% disagreed, and 29.36% remained neutral. Item B54 constitutes 53.21% participants who agree that the union must take action against a member who is guilty of misconduct or wrongdoing, 15.60% disagreed, and 31.19% remained neutral. Item B50 constitutes 52.29% participants who agree that the precautionary suspension is most often used for malicious reasons to settle scores, 11.93% disagreed, and 35.78% remained neutral. Item B31 constitutes 51.38% participants who agree that disciplinary cases are recorded by labour relations, 3.67% disagreed, and 44.95% remained neutral. Item B6 constitutes 50.46% participants who agree that management may influence the decision of the chairperson of a disciplinary hearing, 18.35% disagreed, and 31.19% remained neutral.

Item B26 constitutes 48.62% participants who agreed that they are able to access reports on the outcome of the disciplinary processes, 22.02% disagreed, and 29.36% remained neutral. Item B20 constitutes 47.71% participants who agreed that managers get involved in the disciplinary processes of my subordinates, 19.27% disagreed and 33.03% remained neutral. Item B8 constitutes 45.87% participants who agreed that the department uses officials from other departments within the public service to chair the disciplinary hearings, 9.17% disagreed and 44.95% remained neutral. Item B37 constitutes 45.87% participants who agreed that they participate in the disciplinary policy-making processes of the department, 36.70% disagreed and 17.43% remained neutral. Item B12 constitutes 42.20% participants who agreed that officials from other departments within the public service are used as departmental representatives at the disciplinary hearing, 11.93% disagreed, and 45.87% remained neutral. Item B33 constitutes 42.20% participants who agreed that they are satisfied with the labour relations advice during hearings, 26.61% disagreed and 31.19% remained neutral.

Item B40 constitutes 42.20% of participants who agreed, stating that there is political interference with the disciplinary process, 18.35% disagreed, and 39.45% remained neutral. Item B18 constitutes 41.28% of participants who agreed that the department

refers disciplinary cases to the bargaining council to appoint an arbitrator / commissioners as the chairperson of the disciplinary hearing, 5.50% disagreed and 53.21% remained neutral. Item B27 constitutes of 39.45% participants who agree that all disciplinary cases are dealt with fairly in accordance with the provisions of the Disciplinary Code and Schedule 8 of the Labour Relations Act, 31.19% disagreed, and 29.36% remained neutral. Item B32 constitutes 39.45% of participants who agree that the disciplinary process is cost effective, 24.77% disagreed, and 35.78% remained neutral. Item B35 constitutes 39.45% participants who agree that they attend labour relations training sessions / workshops, 23.85% disagreed and 36.70% remained neutral. Item B10 constitutes 38.53% participants who agree that the department uses consultants as departmental representatives at the disciplinary hearing, 21.10% disagreed and 40.37% remained neutral. Item B22 constitute 36.70% participants who agree that shop stewards are trained in discipline management, 19.27% disagreed, and 44.04% remained neutral.

Item B1 constitutes 34.86% participants who agree that the department finalises disciplinary cases within 90 days, 34.86% disagreed and 30.28% remained neutral. Item B14 constitutes 34.86% participants who agree that the department use lawyers as employer representatives at the disciplinary hearing, 22.94% disagreed and 42.20% remained neutral. Item B3 constitutes 33.94% participants who agree that the department utilises transfer of employees as a precautionary measure during investigation, 33.03% disagreed, and 33.03% remained neutral. Item B55 constitutes 33.94% participants who agree that disciplinary reports are published/issued quarterly, 34.86% disagreed and 31.19% remained neutral. Item B17 constitutes 32.11% participants who agree that similar acts of misconduct generally receive the same sanction, 31.19% disagreed, and 36.70% remained neutral. Item B9 constitutes 31.19% participants who agree that the department appoints chairpersons who are a rank higher than the departmental representative, 32.11% disagreed and 36.70% remained neutral. Item B41 constitutes 30.28% participants who agree that suspended officials are allowed to resume duty after the expiry of 60 days as prescribed by law, 31.19% disagreed, and 38.53% remained neutral. Item B43 constitutes 30.28% participants who

agree that appeals are dealt with within the prescribed timeframe of 30 days, 35.78% disagreed, and 33.94% remained neutral. Item B5 constitute 27.52% participants who agree that the department finalise investigation of precautionary suspensions cases within 60 days, 35.78% disagreed and 36.70% remained neutral. Lastly, Item B7 constitutes 24.77% and is the least important, where participants agree that the department uses consultants to chair the disciplinary hearings, 21.10% disagreed and 54.13% remained neutral.

Davis, Landini, Van Niekerk, Green and Terblanche (2019:155) state that the Likert-scale items ranges from one to five, with 1=strongly disagree, 2=disagree, 3=neither agree nor disagree, 4=agree, and 5=strongly agree. Ahmed (2020:162) states that a structured questionnaire is used to collect data and a summated rating scale, namely Likert Scale, is applied, starting from strongly agree (5) to strongly disagree (1). Foromo, Chabeli and Satekge (2016:4) state that validity measures the degree to which the instrument is doing what it is intended to do to ensure validity of a study.

In order to inspect individual statements, the frequencies and percentages were calculated (Basha and Van Heerden, 2020:1). The agreement and disagreement percentages were summed to collapse the scale from a 5 point to a 3 points scale. The 79.82% agreement percentage of item B13, where participants indicated that the department allows employees to be represented by shop stewards during the disciplinary process, represents the most important statement, whereas a 24.77% agreement percentage of item B7, where participants indicated that the department uses consultants to chair the disciplinary hearings represent the least important statement.

The above means that representation is very critical in a fair disciplinary process and accords unions and shop steward's mandatory participatory status (cf. sec 3.11.2). On the one hand, consultants do not find expression in the disciplinary process, and their participation is discouraged.

Table 6.18: Section B - Calculation of percentages

Items	Disagreement	Uncertain	Agreement
B13	5.50%	14.68%	79.82%
B34	5.50%	14.68%	79.82%
B23	5.50%	17.43%	77.06%
B2	0.92%	24.77%	74.31%
B49	8.26%	21.10%	70.64%
B36	12.84%	17.43%	69.72%
B39	0.92%	29.36%	69.72%
B52	5.50%	24.77%	69.72%
B28	8.33%	22.22%	69.44%
B45	5.50%	26.61%	67.89%
B15	16.51%	16.51%	66.97%
B29	4.59%	28.44%	66.97%
B42	1.83%	31.19%	66.97%
B30	12.84%	22.02%	65.14%
B4	3.67%	32.11%	64.22%
B46	4.59%	32.11%	63.30%
B53	11.93%	24.77%	63.30%
B11	13.76%	23.85%	62.39%
B19	8.26%	31.19%	60.55%
B24	6.42%	33.03%	60.55%
B47	5.50%	34.86%	59.63%
B48	7.34%	33.03%	59.63%
B16	9.17%	33.03%	57.80%
B44	11.01%	31.19%	57.80%
B38	11.01%	32.11%	56.88%
B25	17.43%	26.61%	55.96%
B51	9.17%	34.86%	55.96%
B21	15.60%	29.36%	55.05%
B54	15.60%	31.19%	53.21%
B50	11.93%	35.78%	52.29%
B31	3.67%	44.95%	51.38%
B6	18.35%	31.19%	50.46%
B26	22.02%	29.36%	48.62%
B20	19.27%	33.03%	47.71%
B8	9.17%	44.95%	45.87%
B37	36.70%	17.43%	45.87%

B12	11.93%	45.87%	42.20%
B33	26.61%	31.19%	42.20%
B40	18.35%	39.45%	42.20%
B18	5.50%	53.21%	41.28%
B27	31.19%	29.36%	39.45%
B32	24.77%	35.78%	39.45%
B35	23.85%	36.70%	39.45%
B10	21.10%	40.37%	38.53%
B22	19.27%	44.04%	36.70%
B1	34.86%	30.28%	34.86%
B14	22.94%	42.20%	34.86%
B3	33.03%	33.03%	33.94%
B55	34.86%	31.19%	33.94%
B17	31.19%	36.70%	32.11%
B9	32.11%	36.70%	31.19%
B41	31.19%	38.53%	30.28%
B43	35.78%	33.94%	30.28%
B5	35.78%	36.70%	27.52%
B7	21.10%	54.13%	24.77%

The calculation of percentage is a representation of the number of participants who agreed, disagreed, and those who remained neutral on the questionnaire item. The value of the questionnaire item and statistics is compared to the number of responses. The survey percentages are not a definite reflection of the research outcome, but merely a perception (Cruywagen, 2015:1135). Bansilal (2017:2) states that when data is reported in percentage form, information about the referent quantities may be easily distorted or misrepresented.

6.7 Section c questionnaire factor outputs

The output shows the factor loadings for the 3 extracted factors from section C of the questionnaire output.

Table 6.19 shows Factor 1, which represents employee awareness, with more than three statements that are above the value of 0.4, and Factor 2 represents interpretation

and application, which also has more than three statements that are above the value of 0.4. Factor 3 represents training, which has one statement that is above 0.4.

It means that Factor 1 and Factor 2 meet the criteria for analysis. Factor 3 does not meet the criteria of the three statements above 0.4 to qualify for assessment.

Page and Auret (2019:8) state that factor loading is positive and significant at the 1% level across the equally weighted quintile portfolios, suggesting that momentum returns tend to maintain a higher correlation with medium and small share returns. Nel and Boshoff (2016:41) state that all the factor loadings are significant. Lema (2017:43) states that factor loading indicates a correlation between the measured and the underlying factor.

Table 6.19: Factor loading

	Factor 1	Factor 2	Factor 3
C9	0.70	0.00	0.36
C4	0.67	0.00	-0.2
C8	0.65	0.08	0.03
C2	0.32	0.28	-0.4
C3	-0.1	0.67	-0.2
C5	0.08	0.65	0.08
C7	0.06	0.57	0.34
C6	0.05	0.38	-0.1
C1	0.01	-0.0	0.20

Suppress Absolute Loading Value Less Than 0.3
Dim Text 0.4

Table 6.20 and Figure 6.2 below show that eigenvalue, which was achieved at 3 factors explaining 63.8% of the cumulative variance. Therefore, 3 factors were used for the rotation, and these are training, interpretation and application, and employee awareness.

Higgoda and Madurapperuma (2020:4) state that the determination of the number of co-integrating vectors is usually based on the trace test and the maximum eigenvalue test, both of which are used to determine the existence of long-term relationship between the

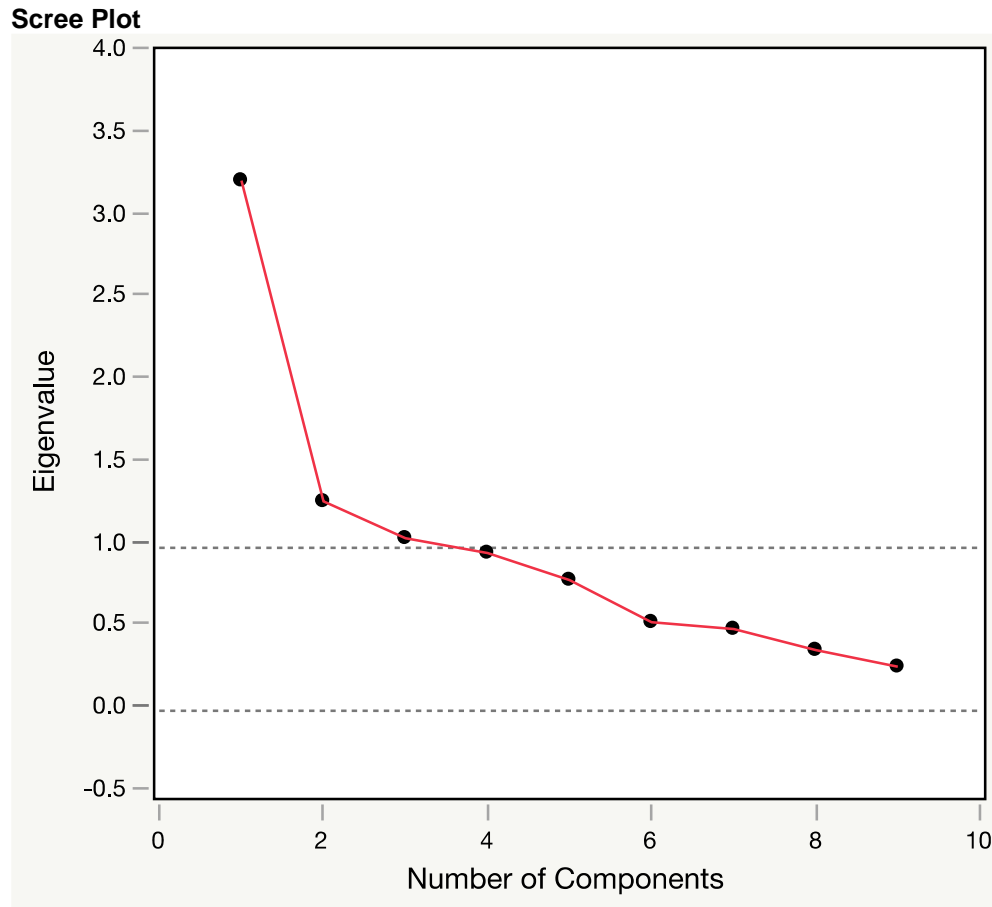
dependent and the explanatory variables in a multivariate framework. Chinzara and Kambadza (2014:25) state that the trace test is more robust than the maximum eigenvalue statistic in testing for co-integration. Omoniyi (2018:6) agree, stating that the trace test and the maximum eigenvalue are used for the investigation in the co-integration test and possible long-run relationship between the variables.

The two factors of section C were analysed as per the loading statistical results. The loading results show that factors 1 and 2 were found to be suitable and produced the outcome. The suitable loaded items for factor 1 are C9 with the loading of 0.70, C4 loading of 0.67 and C8 with the loading of 0.65. The suitable loaded items for factor 2 are C3 with the loading of 0.67, C5 with the loading of 0.65 and C7 with the loading of 0.57. Factor 3 is not suitable as the items loading rates are below 0.40.

Table 6.20: Factor Eigen Value 'C'

Number	Eigenvalue	Percent	20	40	60	80	Cum Percent
1	3.2258	35.843					35.843
2	1.2761	14.178					50.021
3	1.0520	11.689					61.710
4	0.9627	10.696					72.406
5	0.7983	8.870					81.276
6	0.5416	6.018					87.294
7	0.5003	5.559					92.853
8	0.3723	4.136					96.989
9	0.2710	3.011					100.000

Figure 6.2: Eigenvalue graph 'C'



This was achieved at 3 factors explaining 63.8% of the cumulative variance. Therefore, 3 factors were used for the rotation and these are training, employee awareness, and interpretation, and application.

6.8 Averages for factor items

This section discusses the descriptive statistics of the mean and median, which were calculated for the constructs. A higher mean score indicates agreement or importance.

Okeke and Salami (2017:50) regard descriptive statistics as capable enough to summarise data on a single dependent variable, such as the pupils' performance in this study. Ani, Ibikunle, Useh, and Akosile (2015:12) mention that descriptive statistics of means, percentages, and frequency distributions are used to answer the research

questions. Badenhorst (2016:7) agrees, stating that the results of descriptive analysis may be used for gap-and-opportunity analysis.

Table 6.21 shows that employee awareness has a mean score of 3.42, while interpretation and application has a mean score of 3.11. The employee awareness factor deserves first priority, then the interpretation and application, in view of the ranking of 1 and 2 respectively. This does not suggest that the interpretation and application factor is less important.

Table 6.21: Averages for factor items of discipline management

Constructs	N	Mean	Rank
Employee awareness	109	3.42	1
Interpretation and application	109	3.11	2

The discussion above shows that the average of percentage and mean calculation is necessary for purposes of management decision-making process. The data on the constructs is kept safe and confidential to ensure credibility of the process and used for loopholes (Badenhorst 2016:7). These are computerised and descriptive calculations necessary for research analysis (cf sec 6.4.4).

6.9 Factors of cumulative variance for section c of questionnaire

The tables below show the 8 factors of cumulative variance for section C of the questionnaire. These factors are employee awareness, interpretation and application, and training.

6.9.1 Employee awareness

Table 6.18 shows items which form the employee awareness factor. Item C4 constitutes 46.79% participants who agreed that they regularly receive staff circulars on discipline management, 30.28% disagreed and 22.94% remained neutral. Item C8 constitutes 64.22% of participants who agreed that they are allowed to present their cases when

disciplinary steps are taken against them for poor performance, 12.84% disagreed and 22.94% remained neutral. Item C9 constitutes 61.47% of participants who agreed that non-compliance is considered as a serious misconduct, 11.93% disagreed, and 26.61% remained neutral.

According to Dawad and Hoque (2016:22), employee awareness programmes are a critical component of any credible talent management strategy of an organisation. Lemmer (2017:26) states that in the disciplinary hearing, proof should be presented that the employee was aware of the rules which were allegedly breached. Venter (2015:43) states that clear rules and guidelines ensure that friction and misunderstandings are kept to a minimum, which in turn promotes not only productivity but also a positive working environment.

The employee awareness is determined by the regular issuing of staff circulars as a means to keep officials informed of the development. The developments include awareness on the management of poor performance and serious misconduct cases to ensure compliance (cf. sec 3.7.3).

Notwithstanding the awareness of the opportunity granted to employees to make representations at the disciplinary hearing, communication of non-compliance to the framework is minimal in the department. Employee awareness is a necessary tool for use to instil compliance and improve disciplinary management.

Table 6.22: Employee awareness

Item No	Statement	Disagree%	Neutral %	Agree%
C4	I regularly receive staff circulars on discipline management.	30.28%	22.94%	46.79%
C8	I am allowed to present my case when disciplinary steps are taken against me for poor performance	12.84%	22.94%	64.22%
C9	Non-compliance is considered as a serious	11.93%	26.61%	61.47%

	misconduct			
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6.9.2 Interpretation and application

Table 6.23 shows items, which form the interpretation and application factor. Item C3 constitutes 56.88% participants who agreed that they have signed the Code of Conduct, 28.44% disagreed, and 14.68% remained neutral. Item C5 constitutes 25.69% participants who agreed that the Disciplinary Code is reviewed periodically, 22.02% disagreed and 52.29% remained neutral. Item C7 constitutes 43.12% of participants who agreed that corruption cases are dealt with decisively, 32.11% disagreed and 24.77% remained neutral.

Okpaluba (2018:3) states that the court in the exercise of its function of interpreting and applying the Constitution, is obliged to give guidance as to what accountability means or represents in any particular context. Mapungavanhu (2019:6) agrees, stating that the interpretation must thus be informed by, or done through the lens of the spirit, purport, and objects of the Bill of Rights. Kanyemba and Hifisi (2019:208) imply that the interpretation and application promotes efficient and effective service delivery, and also helps to communicate public-sector service expectations and standards to the citizenry.

Interpretation and application require that the disciplinary framework is reviewed periodically to enhance developments in the rule of law. The correct interpretation and application assist to address cases of unethical conduct (cf. sec 3.7.4). The view that the disciplinary policy is available and known to employees is confirmation of the application of discipline management principles. The right to representation accorded to employees presents an opportunity to deal with cases in a fair manner. Conversely, excluding employees from the policy review process have a negative effect of insufficient consultation on disciplinary management (cf. sec 3.6.1).

The notion that the framework requires revision is best for the effectiveness of disciplinary management. The amendments keep the policy relevant and address challenges of interpretation and application of the framework Hifisi (2019:208).

Table 6.23: Interpretation and application

Item No	Statement	Disagree%	Neutral%	Agree%
C3	I have signed the Code of Conduct	28.44%	14.68%	56.88%
C5	The Disciplinary Code is reviewed periodically	22.02%	52.29%	25.69%
C7	Corruption cases are dealt with decisively	32.11%	24.77%	43.12%

6.9.3 Training

Table 6.24 shows an item which forms the training factor. Item C2 constitute 40.37% participants who agreed that they have attended the Disciplinary Code and Procedures training workshop, 47.71% disagreed and 11.93% remained neutral.

Pillay, Gowensmith, and Banks (2019:538) concede that it is also important to recognize that promoting the idea of specialized training is not merely for professional status elevation, but rather to ensure more intensive and in-depth training that can ultimately result in a more effective service. Shenge (2014:50) mentions that training is one of the activities that gives organizations access to resources, including human resources, material, money, and methods that will allow them to compete successfully in a changing environment, and to plan and design activities to accomplish the perceived goals of the organization. Sokoh (2019:8) agrees, stating that training is essential because it is an organization's lifewire that improves the human element that moves the organization in the direction of meeting its objectives

Training on the Disciplinary Code and Procedures capacitate employees with the understanding of norms and standards for discipline management. The comprehension of norms and standards ensures stability at the workplace (cf. sec 2.12.3). Training in

hearings and disciplinary processes is a prerequisite to ensure uniformity and common understanding of all stakeholders.

Table 6.24: Training

Item No	Statement	Disagree%	Neutral%	Agree%
C2	I have attended the Disciplinary Code and Procedures training workshop	47.71%	11.93%	40.37%

In summary, employee awareness is a legislative requirement which requires that employees are informed of the rules governing discipline management (Lemmer, 2017:26). The fair implementation of the disciplinary framework necessitates proper interpretation and application to ensure common understanding amongst role players (Kanyemba and Hifisi, 2019:208). Training enhances performance and impacts positively on service delivery imperatives (Pillay, Gowensmith, and Banks (2019:538).

6.10 Section c: analysis of individual statements

Table 6.25 shows that C1 has the highest percentage of 69.72%, where participants agreed that they know and comply with the Disciplinary Code and Procedure of the department. 6.42% participants disagreed, and 23.85% remained neutral. Item C8 constitutes 64.22% of participants who agreed that employees enjoy the right to representation and presentation of their cases when disciplinary steps are taken against them. 12.84% participants disagreed, and 22.94% remained neutral. Item C9 constitutes 61.47% participants who feel that non-compliance is considered as a serious misconduct, 11.93% of participants disagreed, and 26.61% remained neutral. Item C3 constitutes 56.88% of participants indicating that they have signed the Code of Conduct, 28.44% participants disagreed, and 14.68% remained neutral. Item C4 constitutes 46.79% of participants indicating that they regularly receive staff circulars on discipline management, 30.28% participants disagreed and 22.94% remained neutral. Item C7 constitutes 43.12% of participants indicating that corruption cases are dealt with decisively, 32.11% participants disagreed, and 24.77% remained neutral. Item C2

constitutes 40.37% of participants indicating that they have attended the Disciplinary Code and Procedures training workshop, 47.71% participants disagreed, and 11.93% remained neutral. Item C5 constitutes 25.69% of participants, indicating that the Disciplinary Code is reviewed periodically, 22.02% participants disagreed, and 52.29% remained neutral. Item C6 constitutes 56.88%, with participants indicating that they are invited to participate in the review of the disciplinary policy, and 56.88% participants disagreed and 19.27% remained neutral.

McGuire, Riffenberg, Malope, Jack, and Borba (2020:9) state that the use of percentages to report Likert-scale data, limits the interpretation of changes in research confidence. Mhlanga, Hattingh, and Moolman (2015:760) state that the Likert-type scale is employed in the questionnaire to illustrate the degree of authenticity. Pillay and Laher (2015:9) state that a high score on this scale shows a preference for a specific acculturation strategy.

The above means that it is critical to inspect individual statements in order to calculate the frequencies and percentages. The agreement and disagreement percentage is a 3-point scale, with 69.72% agreement percentage of item C1, where participants indicated that they know and comply with the Disciplinary Code and Procedure of the department, represents the most important statement. A 23.85% agreement percentage of item C6, where participants indicated that they are invited to participate in the review of the disciplinary policy, represents the least important statement.

The individual statements provide a perception which influences the study results on employee awareness, interpretation and application, and training. The implementation of the results would be a milestone to effective and efficient disciplinary management.

Table 6.25: Section C – calculation of percentages

Items	Disagreement	Uncertain	Agreement
C1	6.42%	23.85%	69.72%
C8	12.84%	22.94%	64.22%
C9	11.93%	26.61%	61.47%

C3	28.44%	14.68%	56.88%
C4	30.28%	22.94%	46.79%
C7	32.11%	24.77%	43.12%
C2	47.71%	11.93%	40.37%
C5	22.02%	52.29%	25.69%
C6	56.88%	19.27%	23.85%

The interpretation of the calculation of percentages in paragraph 6.6 above is also applicable to this section. The calculation of percentage is an important element of empirical research.

6.11 Case study document analysis

This section shows the performance of the Department of Public Service and Administration using the MPAT assessment standard for the period 2014-2018.

Table 6.26 above shows an average performance score for national departments on the management of disciplinary cases. From a total of 44 departments, there are only 5 departments operating at or above compliance average, which represents only 11.4% of all national departments. A total of 15 are the best performing national departments for Indicator 3.4.2 on the management of disciplinary cases. The Department of Public Service and Administration is at an average of 2.0 for the 2014-2018 five-year cycle.

From the above discussion it means that DPSA finalised disciplinary cases within the policy requirements, but the necessary documentation was not kept and reports were submitted outside of the stipulated timeframe (DPME 2018). The department performed below expectation for the 2014 to 2018 reporting period.

Table 6.26 Human Resource Management KPA Heat – map for national departments (2014-

2018)

TABLE 3: HUMAN RESOURCE MANAGEMENT KPA HEATMAP FOR NATIONAL DEPARTMENTS

DEPARTMENTS	3.1.1 HR Planning	3.1.2 Org Design	3.2.2 Recruit and reten	3.2.6 Deleg PSA	3.3.1 Level 1-12 PMDS	3.3.2 SMS PMDS (ex HODs)	3.3.3 PMDS HOD	3.4.2 Discipl cases	GRAND TOTAL
ND AGRICULTURE FORESTRY & FISHERIES	3,0	2,0	3,0	4,0	2,0	2,5	1,0	2,0	2,4
ND ARTS & CULTURE	2,5	2,0	2,5	4,0	2,0	2,0	2,5	3,0	2,6
ND BASIC EDUCATION	4,0	4,0	2,5	4,0	2,0	2,0	4,0	2,0	3,1
ND COMMUNICATIONS	3,0	2,0	2,5	1,0	2,0	2,0	1,0	1,0	1,8
ND COOPERATIVE GOVERNANCE	4,0	2,0	2,5	4,0	2,0	2,0	2,5	4,0	2,9
ND CORRECTIONAL SERVICES	2,5	1,0	2,0	4,0	3,0	3,0	1,0	2,0	2,3
ND DEFENCE	2,5	3,0	2,5	2,0	3,0	2,0	2,0	2,0	2,4
ND ECONOMIC DEVELOPMENT	1,0	2,0	2,5	2,0	2,0	2,0	1,0	1,0	1,7
ND ENERGY	2,5	2,0	2,5	3,0	2,0	2,5	2,5	1,0	2,3
ND ENVIRONMENTAL AFFAIRS	3,0	1,0	2,5	3,0	3,0	2,5	2,5	2,0	2,4
ND GCIS	1,0	2,0	2,5	3,0	2,0	2,0	1,0	4,0	2,2
ND HEALTH	2,5	2,0	2,5	2,0	2,0	2,0	2,5	4,0	2,4
ND HIGHER EDUCATION	2,5	2,0	2,5	3,0	2,0	2,0	2,5	2,0	2,3
ND HOME AFFAIRS	3,0	3,0	3,0	4,0	3,0	2,0	4,0	2,0	3,0
ND HUMAN SETTLEMENTS	2,5	2,0	2,5	2,0	2,0	2,5	2,5	3,0	2,4
ND INTERNATIONAL RELATIONS	3,0	2,0	2,5	4,0	2,0	2,0	2,0	2,0	2,4
ND IPID	1,0	2,0	2,5	2,0	2,0	2,0	2,0	2,0	1,9
ND JUSTICCE & CONS DEVELOPMENT	4,0	1,0	2,5	4,0	2,0	2,0	2,5	2,0	2,5
ND LABOUR	4,0	1,0	2,5	2,0	2,0	2,5	2,5	2,0	2,3
ND MILITARY VETERANS	1,0	2,0	2,5	4,0	2,0	2,0	1,0	4,0	2,3
ND MINERAL RESOURCES	2,5	2,0	2,5	2,0	2,0	2,0	1,0	2,0	2,0
ND NATIONAL SCHOOL OF GOVT	3,0	2,0	2,5	4,0	2,0	2,5	2,5	3,0	2,7
ND NATIONAL TREASURY	2,5	4,0	2,5	4,0	4,0	4,0	2,5	4,0	3,4
ND OFFICE OF CHIEF JUSTICE	2,5	1,0	2,5	4,0	2,0	2,0	2,5	3,0	2,4
ND PLANNING MON & EVALUATION	2,5	2,0	3,0	2,0	3,0	2,0	2,5	2,0	2,4
ND POLICE	4,0	3,0	2,5	2,0	3,0	2,5	2,5	4,0	2,9
ND PRESIDENCY	3,0	2,0	2,5	4,0	2,0	3,0	3,0	3,0	2,8
ND PUBLIC ENTERPRISES	3,0	2,0	2,5	2,0	2,0	2,0	1,0	4,0	2,3
ND PUBLIC SERVICE & ADMIN	3,0	1,0	2,5	4,0	3,0	2,0	1,0	2,0	2,3
ND PUBLIC SERVICE COMMISSION	3,0	1,0	1,0	4,0	1,0	2,0	4,0	1,0	2,1
ND PUBLIC WORKS	3,0	2,0	2,5	4,0	2,0	2,5	2,5	4,0	2,8
ND RURAL DEVELOPMENT	3,0	1,0	2,5	4,0	2,0	2,0	2,0	4,0	2,6
ND SCIENCE & TECHNOLOGY	4,0	1,0	2,5	3,0	3,0	4,0	4,0	2,0	2,9
ND SMALL BUSINESS DEVELOPMENT	4,0	2,0	2,5	4,0	3,0	4,0	2,5	4,0	3,3
ND SOCIAL DEVELOPMENT	3,0	2,0	3,0	2,0	3,0	2,0	1,0	4,0	2,5
ND SPORT & RECREATION	1,0	1,0	4,0	2,0	2,0	2,0	1,0	4,0	2,1
ND STATS SA	2,5	1,0	3,0	2,0	3,0	2,0	2,5	4,0	2,5
ND TELECOM & POSTAL SERVICES	1,0	1,0	2,5	3,0	2,0	2,5	3,0	4,0	2,4
ND TOURISM	3,0	2,0	2,5	4,0	2,0	2,0	2,5	3,0	2,6
ND TRADE & INDUSTRY	3,0	1,0	2,5	4,0	2,0	4,0	4,0	4,0	3,1
ND TRADITIONAL AFFAIRS	1,0	2,0	2,5	4,0	2,0	2,5	2,5	3,0	2,4
ND TRANSPORT	1,0	1,0	2,5	2,0	2,0	2,5	1,0	2,0	1,8
ND WATER & SANITATION	3,0	2,0	2,5	4,0	2,0	2,5	1,0	2,0	2,4
ND WOMEN	1,0	2,0	2,5	3,0	3,0	3,0	1,0	2,0	2,2
NAT DEPT AVE	2.6	1.8	2.5	3.1	2.3	2.4	2.2	2.8	2.5

Source DPME MPAT Report 2018:23

6.12 Conclusion

The use of the survey, interviews, and documentation produced the desired results for interpretation and analysis. The analysis was based on the themes and factors derived from the survey and interviews.

The themes which were discussed are discipline management, disciplinary process, norms and standards, forms of discipline, disciplinary procedure, and disciplinary outcomes. The themes were explored during the analysis of the interviews to give meaning in relation to the study. The quantitative statistical analysis discovered factors which supplemented the qualitative analysis and results. These factors and variables are compliance, delegation of authority, management, monitoring and evaluation, investigation, representation, advice and interference.

The chapter outlined various aspects that are guided by the results and analysis to ensure compliance and promote good governance. It refers to the fact that effective discipline management means the finalisation of cases within the prescribed timeframes. Finalisation of cases on time requires that procedures and processes are adhered to. It is further required that the disciplinary framework is interpreted and appropriately applied.

The other success factors discussed in detail include keeping employees aware of developments, and sound advice provided to employees and managers. The analysis revealed monitoring and evaluation of employee conduct as the critical factor for effective discipline management. The case study documentary analysis provided the status of disciplinary management performance in the Department of Public Service and Administration.

CHAPTER 7: FINDINGS, RECOMMENDATIONS AND CONCLUSION

7.1 Introduction

The previous chapter discussed the analysis and interpretation derived from the survey, interviews and qualitative analysis. This chapter presents the findings, recommendations, and conclusions of the study.

7.2 Research purpose and objectives

The purpose of this study was to determine the effectiveness of disciplinary management in DPSA. To address the stated purpose of the study, the following research objectives, as mentioned in Chapter One, were formulated to guide the study.

- Investigate whether public administration practices promote effective discipline management.
- Examine whether discipline management framework measures are effective in ensuring a disciplined workforce
- Explore whether the DPSA manage activities within the confinement of legislative framework requirements.
- Assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases.

7.3 Synthesis of chapters

In an attempt to determine the effectiveness of the public service disciplinary framework for the Department of Public Service and Administration, the study was divided into seven chapters.

In Chapter One the researcher dealt with the background and motivation for the study. The topic discussed were the rationale for the study, scholarly perspective, problem statement, purpose of the study, research objectives, research questions, literature

review, study technique, scope and limitation of the study, ethical consideration, and chapter division.

In Chapter Two the researcher dealt with practices of discipline management in the context of public administration. The discussion focused on theories and concepts of public administration.

In Chapter Three, the researcher focused on the disciplinary framework in relation to legislation, policies, procedures, and processes which have an impact on disciplinary management. The principles, including the interpretation and application of the disciplinary framework were discussed in detail.

In Chapter Four, the researcher discussed policy design and implementation. The other part of this chapter focused on monitoring and evaluation, which included the assessment mechanism in the public service. The importance of a Monitoring Performance Assessment Tool (MPAT) was outlined in the assessment of employee relations with regard to disciplinary management. MPAT was used for monitoring and evaluation of performance on disciplinary management in national and provincial departments.

In Chapter Five, the researcher provided a description of the research methodology and design which were used in the study. This chapter dealt with the rationale for empirical research, research paradigms, research methods and design, elements of analysis, validity and credibility, ethical considerations, issues of dependability, and trustworthiness.

In Chapter Six, the researcher presented the qualitative data and exploratory quantitative data. Qualitative data was collected through interviews and the document analysis was presented in the form of narratives. In addition, quantitative data was collected and translated into descriptive statistics and presented in the form of graphs

In the current chapter, Chapter Seven, the researcher presents the research findings, recommendations, and conclusions.

7.4 Research findings

In this section, the researcher provides the findings stemming from the literature review, Chapters Two to Four, and the empirical analysis of this study reported on in Chapter Six. The first part discusses the interview results and the second part is focused on the questionnaire results. The researcher organised the narrative of the results to depict the collaboration of the interviews and the questionnaire results.

7.4.1 Interview findings

The researcher analysed the findings of the responses which were derived from the interviews. The findings depict the expression of the interviewees in relation to the thematic analysis of the emerging variances from the study.

7.4.1.1 Norms and standards

In this section, the researcher deals with the second objective, which is to examine whether discipline management framework measures are effective in ensuring a disciplined workforce. Firstly, on the question of how effective the disciplinary policy framework is in the department, the researcher concludes that the disciplinary framework is ineffective due to non-compliance to timeframes and lack of internal capacity to deal with disciplinary cases (cf sec 3.6.3). This may be attributed to tight timelines and the technicalities raised during the process, which are contributing factors to the delay in the finalisation of cases. The technicalities referred to above result in the postponement of disciplinary hearings. According to Landis and Grissett (2014:156), compliance to legislation is critical as it reduces claims of unfair labour practice and creates a work environment conducive to effectiveness.

The other inference is the view that effectiveness is dependent on proper implementation of the policy. The implementation includes managers ensuring that

there is consistency in the application of the policy. The policy has a clearly articulated process which should be followed to ensure effective implementation (cf. sec 3.7.2).

Secondly, on how effective the monitoring and evaluation measures are on the conduct of employees, the impression is that monitoring and evaluation are non-existent in the department. The participants further confirmed that the monitoring and evaluation system is ineffective and requires attention. Managers and supervisors are responsible for monitoring and evaluation (cf. sec 4.27).

Thirdly, on the question of why it is necessary to periodically review the disciplinary policy, the participants impressed on the need for the disciplinary policy to be updated to remain relevant. The basis for the review is attributed to economic changes, including the impact of the Covid-19 pandemic to the work environment, amendments to legislation, labour law judgements, and precedence. It is therefore critical that the policy should be reviewed on a regular basis (cf. sec 4.13).

7.4.1.2 Disciplinary management

In this section, the researcher deals with the first objective, which is to investigate whether public administration practices promote effective discipline management. This variable discussed the influences of management and the perception about labour relations advice.

In relation to the first question on what the influences of management about disciplinary outcomes are, the participants indicated that management influences the disciplinary process. It is common practice for managers to influence the disciplinary process, as it is the employer's initiative. However, the chairperson of the disciplinary hearing is in charge of the process and entrusted with the responsibility to act objectively in making decisions (cf. sec 3.12.3).

On the second question regarding the perception of labour relations advice on the management of discipline, participants expressed that labour relations practitioners

provide excellent service, however managers disregard their advice. The disregard of the advice is due to the lower levels at which labour relation practitioners are appointed (cf. sec 6.4.7).

7.4.1.3 Forms of discipline management

This section deals with the third objective, which is to explore whether the DPSA manages activities within the confinement of legislative framework requirements. This variable discussed two questions on training and employee awareness, and precautionary suspension. The first question on why training and employee awareness on the Disciplinary Code and Procedure is necessary for effective discipline management; all participants view training and awareness as a critical form of discipline management. The participants stated that if both parties are aware of the rights and the wrongs, it will be much easier to apply disciplinary action within a department (cf. sec 6.7).

The second question on what impact precautionary suspension has on discipline management, all interviewees expressed that precautionary suspension is not used for its intended purpose. Participants further expressed that precautionary suspension is used as a punitive measure against employees, and to settle scores. The participants suggest that this attitude defeats the purpose of precautionary suspension and renders discipline management ineffective (cf. sec 6.4.1).

7.4.1.4 Disciplinary procedure

This section deals with the fourth objective, which is to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. This variable discussed fair implementation of the disciplinary framework. It answered the question on what measures should be considered to enhance fair implementation of the disciplinary framework. Participants expressed that training and awareness campaigns are the necessary intervention measures to ensure fair implementation of the disciplinary framework. The employees and managers are

vulnerable with information on disciplinary framework. The necessary interventions include conducting advocacy training on basic concepts and principles of disciplinary management, which may include the acts of misconduct, the employee rights, sanctions, and appeal process. This intervention allows for consistency through periodic assessment on fair implementation of the disciplinary framework (cf. sec 4.12).

7.4.1.5 Disciplinary process

In this section, the researcher dealt with the fourth objective, which is to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. The variable discussed representation of employees and managers in the disciplinary process. In answering the question on why it is necessary to involve managers and shop stewards' representation in disciplinary processes, participants expressed that representation ensures fairness and consistency in the application of discipline. The participants suggested that representation promotes mutual understanding, and relationships which are in the interest of a fair disciplinary process (cf. sec 6.4.6).

7.4.2 Questionnaire findings

The researcher analysed the findings of the responses which were derived from the questionnaire. The aim of the researcher was to ensure collaboration with the interview findings and close the gaps that would compromise validity.

7.4.2.1 Compliance with the disciplinary framework

In this section, the researcher deals with the second objective, which is to examine the effective measures of the discipline management framework. The disciplinary framework is an enabling guiding legal document which outlines the effective processes and procedures. The view advanced by participants is that the framework is effective and inculcates good management practices. This assertion is supported by the average percentage of 28.74 who disagreed, 29.56% remained neutral, and 38.42 who agreed

to the effectiveness of the discipline management framework. These practices include correctness, and consistent and rigorous implementation of the disciplinary framework. The disciplinary framework is well crafted, but the challenge of ineffectiveness and non-compliance is on the implementation of the disciplinary framework. Implementation refers amongst others to consistency, interpretation, and application of the disciplinary framework. The challenge of implementation requires capacity building and training of managers to comprehend the disciplinary policy (cf. sec 3.2).

The quantitative compliance construct has a reliability status, meaning that the results meet the test of analysis. The key areas which are identified are around the timeframe and involve the finalisation of disciplinary cases within 90 days, the finalisation of the investigation process within 60 days where employees are on precautionary suspension, and appeals, which should be finalised within 30 days. The department does not finalise cases within 90 days, nor finalise the investigations within 60 days or deal with appeals within 30 days. The department is non-compliant to the timeframes, which is an indicator for the inappropriate implementation of the disciplinary framework.

According to the findings emanating from the document analysis of MPAT, the Department of Public Service and Administration was at an average of 2.0 for the 2014-2018 five-year cycle. The indication is that the department actions are guided by the policy requirements but do not keep the disciplinary documentation and the reports are not submitted on time (cf. sec 6.3.2). Proper implementation of the disciplinary framework requires that disciplinary reports should be submitted within the prescribed timeframe and records are filed. This is a further indication that the disciplinary framework is not implemented accordingly.

The PSC document analysis results confirmed that the majority of disciplinary cases in the public service are finalised between 4 and 12 months. A significant number of disciplinary cases are resolved within at least 3 months, while a less but still significant number of cases are finalised between 1 to 3 years. This non-adherence to timeframes constitute non-compliance and poses challenges to the full implementation of the

disciplinary framework, which is attributed to various factors, including requests for postponements, delays by presiding officers to finalise reports, and pronounce sanctions (cf. sec. 6.3.3).

The contributing factors for failure to finalise disciplinary cases on time include the complexity and merits of individual matters, the use of lawyers, management influence of the disciplinary process, lack of capacity to chair disciplinary cases, and poor investigation and gathering of evidence. It is evident from the participants' responses that disciplinary cases are finalised outside the prescribed timeframes. The prompt finalisation of disciplinary cases impact on effective discipline management and the performance of the organisation (cf. sec 3.9.1).

7.4.2.2 Delegations of authority

In this section, the researcher deals with objective one, which was to investigate whether public administration practices promote effective discipline management. Effective discipline management requires that managers are given the authority to exercise their responsibility of maintaining ethical conduct of employees. The delegations of authority are a tool to circumvent red tape and ensure that discipline is dealt with at the lowest possible management level. This initiative drastically reduces the time it takes to finalise disciplinary cases (cf. sec 6.4.2). The results show the majority of participants who affirm the risk of influence of chairpersons and the high rate of the use of internal departmental representative. The disciplinary code is explicit on rank differentiation in dealing with individual cases; however, the results reveal an uncertain use of this provision. The majority of participants are aware of the delegated authority, which considers appeals (cf. sec 3.13.1). On average 23.69% disagree with the delegations of authority, 29.51 remained neutral, and 46.78 agreed.

The delegations of authority hold the designated participants responsible and accountable on the outcome of the disciplinary process (cf. sec 3.3).

7.4.2.3 Management of discipline

In this section, the researcher deals with the fourth objective, which was to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. The results reveal adherence to the disciplinary processes in relation to lodging of appeal, role comprehension by shop stewards, and that managers have a responsibility to exercise discipline against employees. It is apparent that managers nonetheless are not active participants during the disciplinary process involving their subordinates (cf. sec 3.9).

The perception of limited and non-participation of managers in the disciplinary process renders the implementation of the disciplinary framework subjective and unfair, without the required supervisor evidence. The magnitude of the managers' participation defines the fair implementation and management of the disciplinary process (cf. sec 3.9.2). On average 16.05% disagreed to the management of discipline, 25.23% remained neutral and 58.71% agreed thereto.

7.4.2.4 Effect of the monitoring and evaluation measures

In this section, the researcher deals with the third objective, which was to explore whether the DPSA manages activities within the confines of the legislative framework requirements. On average, the majority of 67.83% participants interviewed agreed to monitoring and evaluation, 26.46% remained neutral, and 5.70% disagreed. The department uses the captured information and data for statistical reporting purposes on employees' conduct. Participants who indicated that monitoring and evaluation is effective, mentioned this, and based their arguments on perceptions (cf. sec 4.14.1). Monitoring and evaluation is linked to supervision, meaning that managers should take responsibility for the conduct of employees (Mapitsa and Khumalo, 2018:6). Managers tend to neglect monitoring and evaluation, and instead transfer this responsibility to the labour relations practitioners. The neglect and transfer of monitoring and evaluation responsibility by managers poses a challenge of good governance (Abrahams, 2019:1). Performance management and development systems influence effective monitoring and evaluation of discipline by managers (cf. sec 2.12.6).

Monitoring and evaluation outcomes assist to improve the standard of discipline management. Management have a responsibility to ensure that effective monitoring and evaluation is in place (cf. sec 6.8.1).

The overwhelming number (63%) of participants agreed to the setting of discipline performance standards as a necessary tool to influence management decision, 32.11% remained neutral and 4.59% disagreed. This is confirmation that monitoring and evaluation is a discipline management function that should be embodied in the performance management and development system. Managers have a responsibility to execute discipline and should monitor and evaluate the conduct of employees at the workplace. The effectiveness of discipline monitoring and evaluation is influenced by the performance standards which impact on performance improvement. This is supported by the view that the Monitoring Performance Assessment Tool (MPAT) assists to improve the performance standard of discipline management. The analysis of MPAT (cf. sec 6.3.2) supports the findings that the performance of the monitoring and evaluation function is the responsibility of line managers. Practical implementation necessitates the alignment of the monitoring and evaluation function to the performance agreements of managers.

7.4.2.5 Investigation requirements

In this section, the researcher deals with the fourth objective which was to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. Investigation is a pre-requisite to determine facts and evidence, precautionary suspension is implemented where there is suspicion of possible interference and threats to potential witnesses (cf. sec 3.8.3). The results indicate that precautionary suspension is used to fight battles and settle scores relating to matters outside of the workplace. It is often used as a tool to punish, and not as a precautionary measure to allow for the finalisation of the investigation without any hindrances. Precautionary suspension should be enforced in extreme, serious cases where substantial possibilities exist for tampering with the investigation and evidence (Makhuzeni *et al*, 2015:647). A well-executed precautionary suspension contributes to

positive discipline management. Conversely, haphazard precautionary suspensions impact on staff morale when such suspensions are uplifted, and where the basis for the suspension is unsubstantiated. The longer the precautionary suspension period, the costlier it becomes for the employer, as it is applied with full emoluments (cf. sec 3.8.3). On average, the majority of participants, at 62.07% agree to investigation, 26.91% remained neutral, and 11.01% disagreed (cf. sec 3.8.3).

7.4.2.6 Representation in disciplinary process

In this section, the researcher deals with the fourth objective which is to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. The results suggest that representation of an employee by a shop steward or fellow colleague is necessary and provides an employee with the opportunity to be heard. The manager represents the employer, and the shop steward represents the employee to ensure that both parties are equally represented. The manager is responsible for initiating the disciplinary process, and must be involved and provide evidence to prove the allegations against the charged employee. Representation is crucial to maintain discipline and labour peace in the organisation, and ensure that managers and shop stewards work hand in hand. Managers and labour representatives should be conversant with the disciplinary processes to ensure effective representation. Effective representation necessitates competence and familiarity with the process. The lack of capacity and knowledge by the representative most often works against either party at the disciplinary hearing (cf. sec 3.11.2), (cf. sec 3.9.2) and (cf. sec 3.13.2). The results reveal that the majority of participants, at 52.29% agreed to representation, 37.92 remained neutral, and 9.78% disagreed.

7.4.2.7 Advice of labour relations practitioners

In this section, the researcher deals with the first objective to investigate whether public administration practices promote effective discipline management. The results reveal that managers abdicate their duty to discipline employees. It is apparent that managers

disregard the advice of labour relations practitioners. Labour relations practitioners are expected to objectively advise on the fairness of human resource policies and practices (cf. sec 6.4.7). The advice of labour relations practitioners is subjected to scrutiny by the heads of human resources, whose assessments are often subjective (Botha, Schultz and Bezuidenhout, 2018:5).

The results portray that labour relation practitioners are appointed in low salary levels, which may be a contributing factor for the disregard of their advice. Labour relations are a specialist field which requires a great sense of independence and impartiality to ensure sound advice. The location of labour relations is critical to promote sound employment relations for any organisation to achieve its strategic objectives (cf. sec 3.12.2). On average, 41.89% of participants agreed to the advice of the labour relations practitioners, 33.71% remained neutral, and 16.97% disagreed.

7.4.2.8 Interference with the disciplinary outcomes

In this section, the researcher deals with the fourth objective which was to assess the outcomes of monitoring and evaluation to improve DPSA performance in the management of disciplinary cases. The study reveals that there is management interference with the disciplinary outcomes. The frequent manner in which management interferes with disciplinary processes has become a common and acceptable practice in the department. This is derived from some of the participants who perceive interference as management's responsibility for effective administration of the disciplinary processes. Participants who are familiar with the process are aware that the responsibility for the pronouncement of the disciplinary outcome is vested with the chairperson of the disciplinary hearing (cf. sec 3.12.2). Nonetheless the practice that the chairperson is appointed by the responsible manager opens possibilities for influencing the outcome (cf. sec 3.11.8).

The view that management influences disciplinary processes is exacerbated by the notion that the decision of the chairperson cannot be altered (cf. sec 3.11.6). The employer cannot appeal the decision of the chairperson as it represents management's

decision. This means that management cannot appeal its own decision, but has an option to review the outcome at the Labour Court or High Court (Calitz 2019:180). On average, 33.94% participants agreed to interference with the disciplinary outcomes, 45.26% remained neutral, and 20.79% disagreed.

7.4.2.9 Training and employee awareness

In this section, the researcher deals with the second objective to examine whether discipline management framework measures are effective in ensuring a disciplined workforce. The results suggest that the department does not conduct training on the Disciplinary Code and Procedures for staff and shop stewards. This perception is supported by the notion that because participants lack information, it may mean that they are not exposed to training on discipline management. Training and awareness on the rules and procedures is a critical administrative function which impacts on the effectiveness of discipline management (cf. sec 3.7.3).

Training and employee awareness create an environment conducive to maximising productivity and improving service delivery. Training is a management intervention mechanism to enhance organisational and employee performance. It is necessary to assist managers with expertise to discharge their management responsibility with distinction (cf. sec 6.2.1.4). On average 57.49% participants agreed to training and employee awareness, 24.16% remained neutral and 18.35% disagreed.

7.4.2.10 Interpretation and application of the legislative framework

In this section, the researcher deals with the third objective to explore whether the DPSA manages activities within the confinement of legislative framework requirements. The results suggest that employees are aware of the Code of Conduct and have signed it as part of their contract of employment. A further revelation is that corruption cases are not dealt with decisively. On average the majority, at 41.89% of participants agreed to the interpretation and application of the legislative framework, 30.58% remained neutral, and 27.52% disagreed.

The above means that the non-reviewal of the Disciplinary Code and Procedure, which is the disciplinary policy of the department, poses the risk of manipulation in handling corruption cases. The presumption that the policy is outdated makes it irrelevant and a challenge for interpretation and application of the legislative framework. The failure to review the legislative framework impacts on the effective management of misconduct.

7.5 Recommendations

The research suggests the recommendations below, which are derived from the results of the study:

7.5.1 Norms and standards

Compliance with the disciplinary framework

The research suggests that the department should take disciplinary action against managers, which bears consequences for non-compliance to the disciplinary framework (cf. sec 3.8.3). The department should apply the standard operating procedures, and compliance to the provisions of the Disciplinary Code and Procedure PSCBC Resolution 1 of 2003, Chapter 7 of the SMS Handbook, Public Service Act 103 of 1994, Public Service Regulations of 2016 and the Labour Relations Act 66 of 1995 (Deliwe, 2019:50).

Effect of the monitoring and evaluation measures

It is suggested that all managers should be entrusted with the responsibility of monitoring and evaluation of employee conduct. It means that monitoring and evaluation of discipline management should be an indicator and key result area in the performance agreement of all managers, which should be evaluated quarterly and annually (cf. sec 4.24). The department should continue using MPAT to monitor and evaluate the performance standard of discipline management (cf. sec 3.13.4). The

Public Service Commission should strengthen its monitoring and evaluation capability and periodically report on disciplinary management and compliance of state departments. PSC should use the FOSAD reports, which are submitted by national and provincial departments as their monitoring and evaluation tool (cf. sec 4.29).

Periodic review of the disciplinary policy

It is recommended that the department review the Disciplinary Code and Procedure for the public service to ensure alignment with the current legislative and prevailing socio-economic conditions (cf. sec 4.16). The Public Service Act 103 of 1994 was amended in 2008 and the disciplinary amendments impact on the interpretation and application of the Disciplinary Code and Procedure, which requires revision. The review should also take into account the impact of Covid-19 on disciplinary procedures and processes in relation to the expected employee conduct when they are working from home. The policy provision should factor in the working from home arrangement and regulate employee behaviour under Covid-19 (Ramlachan and Beharry-Ramraj, 2021:17219).

7.5.2 Discipline management

Interference with disciplinary management

It is suggested on cases of influence and interference that employees should lodge formal complaints. All complaints of influence and interference should be referred directly to the Public Service Commission for investigation. The findings and recommendations should be submitted to the Minister for Public Service and Administration for implementation (RSA PSC, 1997:118). Upon receipt of the implementation and outcome reports, the Public Service Commission should bi-annually notify Parliament and the State President about the status report of influence and interference with disciplinary management in the public service (RSA PSA, 1994:44).

Advice of labour relations practitioners

The location and structure of the labour relations unit should be a directorate and fit the purpose of being a strategic partner in carrying out the mandate of the department (Botha, Schultz and Bezuidenhout, 2018:19). The department should consider adjustment of the reporting lines to enable labour relations to have a direct link to the Office of the Director General to circumvent management influence of disciplinary cases. This reporting arrangement would permit the labour relations unit to advise and make recommendations objectively without hindrances from support and line function managers (cf. sec 6.2.1.5).

Delegations of authority

The department should institutionalise the developed DPSA sanctioning guidelines which contain the labour relations delegations. The department should conduct workshops and employee awareness on the application of the delegations of authority (cf. sec 3.7.2). The Executive Authority should consider delegating all appeals, excluding dismissal to designated managers who are not involved in the disciplinary process of cases under review (cf. sec 6.4.2).

Consequence Management

It is recommended that the DPSA draft a consequence management policy for the public service which makes provision for the following:

- a. Non-adherence to the timeframes.
- b. The alignment and consistency of the disciplinary measures with the disciplinary framework.
- c. Acts of non-compliance
- d. Desired outcomes
- e. Course of action and remedies
- f. Roles and responsibilities of staff and managers

- g. Policy directives
- h. Dispute resolution mechanism

The application of the consequences for non-adherence to timeframes should be consistent with the prescribed disciplinary sanctions as contained in the PSCBC Resolution 1 of 2003 and Chapter 7 of the SMS Handbook.

7.5.3 Forms of discipline management

Training and employee awareness

It is recommended that the department should conduct training, in particular on the Disciplinary Code and Procedure, and include training on the conducting of disciplinary hearings, monitoring, and evaluation of employees' conduct (cf. sec 4.12). The department should train all managers on the Disciplinary Code and Procedure and on how to conduct disciplinary hearings, including training on monitoring and evaluation of employee conduct. These trained managers should be utilised as departmental representatives and chairpersons of disciplinary hearings (cf. sec 6.2.1.3).

Investigation requirements

It is recommended that the department should conclude the preliminary investigations within a maximum period of 14 days. The managers should be delegated to make decisions on whether to investigate the matter or to appoint an investigating officer to conduct an investigation. This investigation serves to determine whether or not there is a case to be brought against an employee and to gather evidence in support of the case, either physical and/or statements from witnesses. The department should allow the suspended employee to resume duties upon the expiry of 60 days prescribed timeframe, pending the finalisation of the investigation and the disciplinary process (cf. sec 3.8.3).

7.5.4 Disciplinary procedure advocacy

Measures to enhance fair implementation of the disciplinary framework

It is recommended that the department should embark on advocacy and awareness campaigns to enhance fair implementation of the disciplinary framework (cf. sec 3.7.3). The department should organise workshops, pamphlets, and billboards for distribution and engagement with staff and managers.

7.5.5 Disciplinary process

Representation in disciplinary process

The department should establish a dedicated team of employer representatives to present employer cases at the disciplinary hearings, as is the case with shop stewards who represent employees. A shop steward training on disciplinary hearing should be facilitated by the department and attended by both the employer and employee representatives to ensure common understanding of the process. This is a proactive intervention to deal with preliminary and technical issues which are common causes for delays in finalising disciplinary cases (cf. sec 3.11.2).

Interpretation and application of the legislative framework

It is recommended that the labour relations practitioners should deal with matters of interpretation and the application of the disciplinary framework, and escalate potential cases of litigation to legal services. The department should comply with the above findings.

7.6 Contribution to the body of knowledge

Figure 7.1 illustrates the disciplinary management model with four critical stages of ensuring effective disciplinary management at the DPSA. These four critical stages

consist of the base, which is the legislative framework, the policy review, monitoring implementation, and compliance to the timeframes, and the disciplinary framework.

The first layer represents the legislative framework of the model, which is the base pertaining the relevant legislation and applicable policies for disciplinary management in the public service and DPSA. This includes the Constitution of the Republic of South Africa, Labour Relations Act 66 of 1995, Public Administration Management Act 11 of 2014, Public Service Act 103 of 1994, Public Service Regulations of 2016, Chapter 7 of the SMS Handbook 2003, and PSCBC Resolution 1 of 2003. This enabling legislative framework makes provision for the disciplinary procedures and processes.

7.6.1 Review of discipline management practices

The second layer of the model is the review process and constitutes 5 pillars. The pillars of the model discussed below are norms and standards, disciplinary management, forms of discipline management, disciplinary procedure, and disciplinary process. These pillars are a representation of lessons learned and the researcher's contribution to the body of knowledge.

The norms and standards pillar seeks to promote uniformity and a common approach to disciplinary management (cf sec 3.7.3). The norms and standards are derived from the Public Service Act 103 of 1994 and should focus on compliance to the disciplinary framework, including compliance monitoring and evaluation, which internally is a management responsibility, and the PSC is responsible for external oversight (cf. sec 6.4.1). The monitoring tool for compliance is by means of FOSAD quarterly reports, and the PSC conduct investigations and submit reports to Parliament. The department should put in place measures to enforce compliance by issuing non-compliance orders against managers, ensure that the Disciplinary Code and Procedure for the public service (PSCBC Resolution 1 of 2003) and Chapter 7 of the SMS Handbook are reviewed to embrace the amendments to the Public Service Act and other pertinent policy considerations. The Disciplinary Code and Procedure is a collective agreement,

and therefore the review should follow the negotiations process at the bargaining council whereupon parties adopt the amendments. The review should address the interpretation and application of the disciplinary framework, and assist with ease of reference for the appropriate meanings of the disciplinary policy (cf sec 4.13).

Disciplinary management is aimed at addressing the perception in relation to the advice provided by labour relations and the finalisation of the disciplinary cases. To ensure effective discipline, management in the department should firstly, institutionalise, by putting into practice and implementing the disciplinary management delegations of authority as provided for in the DPSA sanctioning guidelines (cf. sec 3.3). Secondly, management should review the structure and reporting line for the labour relations unit to enable it to assume its strategic responsibility and ensure effective disciplinary management in the department (cf. sec 2.12.4). Lastly, consequence management should be institutionalised by developing and implementing policy that requires managers to account for their actions which adversely affect the department (cf sec 7.5.2).

The formal and informal forms of discipline management should be focused on addressing challenges of training and the management of precautionary suspension, which are an impediment to effective disciplinary management and timeous finalisation of disciplinary cases. Training and development on the disciplinary code and procedure should be an ongoing exercise necessary to upskill staff and improve individual and organisational performance (cf. sec 4.12). Training should include aspects of ethical conduct and reporting (cf sec 2.7.6). The precautionary suspension should lapse after 60 days and the official should assume duties pending the finalisation of the formal disciplinary process. Allegations of misconduct must be brought to the attention of the official, who must be given an opportunity to state his or her case before the suspension is effected. There should be a valid reason to warrant the suspension of the official from work (cf. sec 3.8.3).

Disciplinary procedure is focused on ensuring fair implementation of the disciplinary framework. The model seeks to close the grey areas where the department is non-adherent to the statutory provisions, which amounts to unfairness and lack of reasonableness in the management of discipline. The grey areas include the investigation which are not finalised timeously within 60 days to allow the precautionary suspended employees to return to work (cf. sec 7.4.2.1).

Disciplinary process focused on the details and technical aspects, which include adherence to timeframes and conducting of the disciplinary hearing. The chairperson makes a determination on representation and manages the proceedings where there is interference to ensure that the disciplinary process is successfully concluded. The stakeholders abide by the decisions and rulings of the chairperson. Any party has recourse to an appeal process in case they are dissatisfied with how the chairperson conducted the disciplinary process. The appeal is lodged with the executive or appeal authority, giving the reasons thereof (cf. sec 3.11.2).

7.6.2 Monitoring implementation

The third layer of the model is monitoring of the implementation and is applicable to the five pillars as shown in Figure 7.1. It is a management function and a performance indicator for discipline management in the department. Monitoring the implementation of the disciplinary framework is done through reporting using the FOSAD quarterly reports and capturing cases on the PERSAL system. The generated analytical reports indicate whether the disciplinary cases are finalised on time and show the reasons and challenges for non-compliance. Managers have the responsibility to ensure that they monitor the conduct of employees under their supervision and the performance of the department. The labour relations unit analyses trends and submits compliance reports to the line function for submission and evaluation by FOSAD. FOSAD is the Forum for the South African Directors General and monitor implementation of the disciplinary framework (cf. sec 6.4.4).

7.6.3 Effectiveness of the disciplinary framework

Effectiveness is the roof and fourth layer of the model and is focused on adherence to the prescribed timeframes and satisfaction on the applicable legislative framework, application of norms and standards, monitoring and implementation of the disciplinary framework. The effective implementation monitoring of the five disciplinary management pillars and the legislative framework baseline could result in disciplinary cases finalised within 90 days. Investigations where employees are suspended as a precautionary measure could be finalised within 60 days, and appeals could be concluded within 30 days (cf. sec 3.11.4).

The model resembles a house, which means the house is complete and liveable. People can enjoy the house for the purpose for which it was build. Disciplinary management is effective in that:

- There is 100% compliance to all processes and procedures.
- Consequence management is 100% operational and enforced and produces the desired results.
- Delegations are effective and produce results. Managers are responsible and accountable for their actions and decisions.
- The monitoring and evaluation system is operational as employees are at work, performing their duties and responsibilities.
- The disciplinary code and procedure is periodically reviewed and remains relevant.
- Interpretation and application of the disciplinary framework is mutual and common amongst managers.
- Labour relations advice on the management of discipline and finalisation of disciplinary cases enjoy the full support of all managers.
- Employees are trained and workshops conducted on the disciplinary code and procedure on regular basis.
- Employees and managers are equally represented during the disciplinary process.
- Advocacy and awareness campaigns to enhance fair implementation of the disciplinary framework are regularly conducted.

- There is 0% influence of management concerning disciplinary management.

Figure 7.1 Disciplinary management model

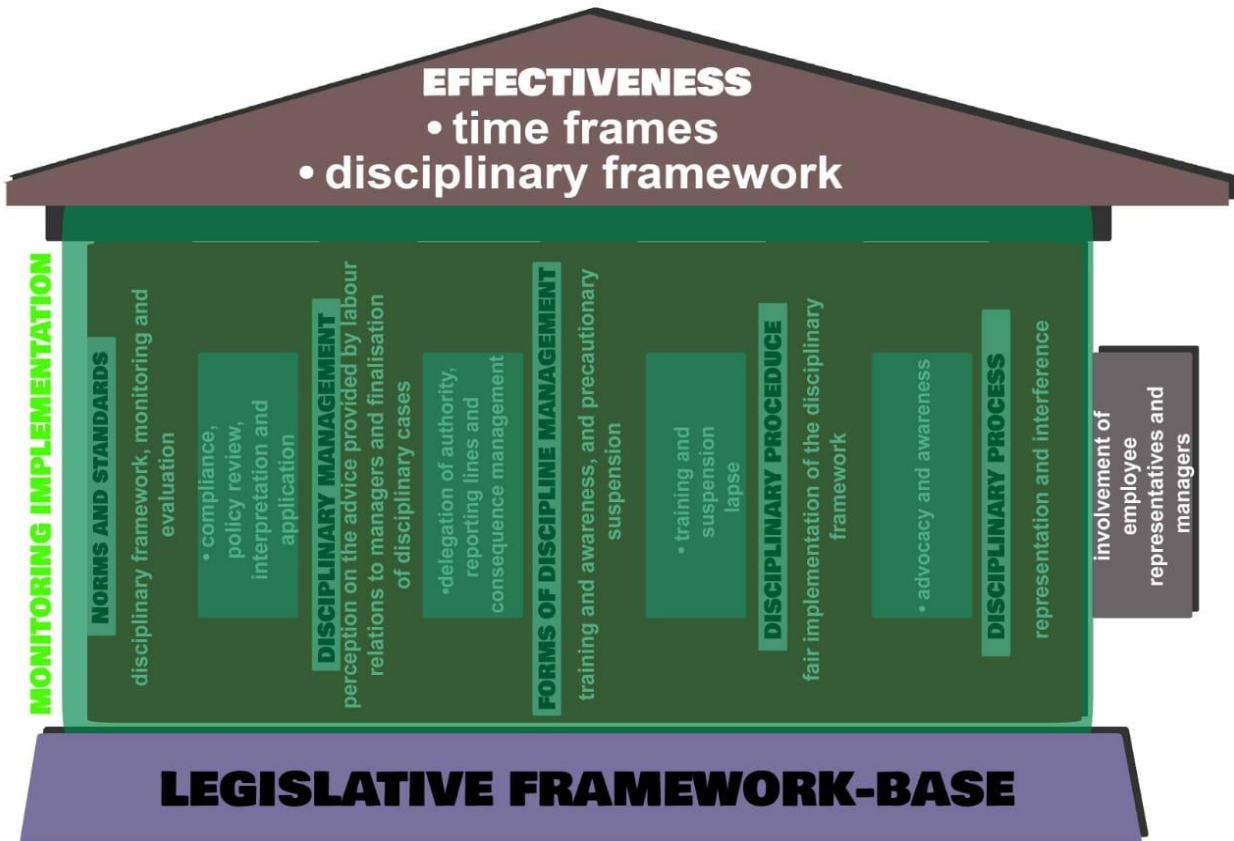


Figure 7.1: Disciplinary management model

7.7 Conclusion

The thematic approach analysis of discipline management encompassed all variables of the study. This approach shared an understanding of disciplinary management through the analysis of norms and standards, disciplinary management, forms of discipline management, disciplinary procedure, and disciplinary process. The quantitative analysis and findings found expression in these themes and closed the gaps of qualitative findings. These elements of analysis included the effectiveness of the disciplinary policy framework, monitoring, and evaluation, review of disciplinary policy, influence, and

interference, management of discipline, employee knowledge, precautionary suspension, fair implementation, and representation. The recommendations were based on these themes.

The improvement and contribution to the study was defined using the proposed disciplinary management model. The model is the construct of the four layers which are derived from the thematic analysis of the study. The model brings new impetus on the importance of the legislative framework, review of disciplinary management practices, and monitoring the implementation and effectiveness of the disciplinary framework in the public service. This is an attempt and contribution to close the gaps, and a means to improve disciplinary management by the Department of Public Service and Administration.

7.8 Future research

The study focused on disciplinary management, investigating the root causes of challenges, and the proposed solutions for the Department of Public Service and Administration. The disciplinary framework in the public service applies equally to all national and provincial departments. Future research should be extended to the impact of precautionary suspension in the public service.

The topics below could be of interest to enhance the field of Public Administration in future.

- Discipline management in the public service: A case study of Outcome 12 Performance Agreement for the Minister for Public Service and Administration.
- Impact of the public service disciplinary framework for the improvement of service delivery.

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APPENDICES

Appendix A

Annexure 1: Research Questionnaire

Section B discipline management

Number	Statement	Strongly Disagree	Disagree	Uncertain	Agree	Strongly Agree	For Office Use only
1	My Department finalise disciplinary cases within 90 days.	1	2	3	4	5	
2	My Department utilise suspension of employees as precautionary measure during an investigation.	1	2	3	4	5	
3	My Department utilise transfer of employees as a precautionary measure during investigation.	1	2	3	4	5	
4	My Department implement precautionary suspension with full salary.	1	2	3	4	5	
5	My Department finalise investigation of precautionary suspensions cases within 60 days.	1	2	3	4	5	
6	Management may influence the decision of the chairperson of a disciplinary hearing.	1	2	3	4	5	
7	My Department use consultants to chair the disciplinary hearings.	1	2	3	4	5	
8	My Department use officials from other departments within the public service to chair the disciplinary hearings.	1	2	3	4	5	
9	My Department appoints chairpersons who are a rank higher than the departmental representative.	1	2	3	4	5	
10	My Department use consultants as departmental representatives at the disciplinary hearing.	1	2	3	4	5	
11	My Department use internal officials as departmental representatives at the disciplinary hearing.	1	2	3	4	5	
12	My Departments use officials from other departments within the public service as departmental representative at the disciplinary hearing.	1	2	3	4	5	
13	My Department allow employees to be represented by shop stewards during the disciplinary process.	1	2	3	4	5	
14	My Department use lawyers as employer representative at the disciplinary hearing.	1	2	3	4	5	
15	I am allowed to lodge an appeal if dissatisfied with the outcome and/or sanction of the hearing.	1	2	3	4	5	
16	All appeals are considered by the Minister of the Department.	1	2	3	4	5	
17	Similar acts of misconduct generally receive the same sanction.	1	2	3	4	5	
18	My Department refer disciplinary cases to the Bargaining Council to appoint an arbitrator/commissioners as the chairperson of the disciplinary hearing.	1	2	3	4	5	
19	I understand the steps that would be taken against me when I am disciplined.	1	2	3	4	5	
20	As a manager, I get involved in the disciplinary processes of my subordinates.	1	2	3	4	5	
21	Shop stewards understand and execute their roles during the disciplinary processes.	1	2	3	4	5	
22	Shop stewards are trained in discipline management.	1	2	3	4	5	
23	I am made aware of my rights when disciplinary action is instituted against me.	1	2	3	4	5	
24	Labour relations practitioners are fully involved with the disciplinary processes.	1	2	3	4	5	
25	Labour relations practitioners provide an advisory service	1	2	3	4	5	

	during the disciplinary processes.						
26	I am able to access reports on the outcome of the disciplinary processes.	1	2	3	4	5	
27	All disciplinary cases are dealt with fairly in accordance with the provisions of the Disciplinary Code and Schedule 8 of the Labour Relations Act.	1	2	3	4	5	
28	Disciplinary actions are used to manage discipline.	1	2	3	4	5	
29	Progressive discipline (reprimand, counselling and warnings) is applied.	1	2	3	4	5	
30	As a manager, I am responsible for managing discipline of my subordinates.	1	2	3	4	5	
31	Disciplinary cases are recorded by labour relations.	1	2	3	4	5	
32	The disciplinary process is cost effective.	1	2	3	4	5	
33	I am satisfied with the labour relations advice during hearings.	1	2	3	4	5	
34	I am allowed representation by my union during the disciplinary hearing.	1	2	3	4	5	
35	I attend labour relations training sessions/ workshops.	1	2	3	4	5	
36	I am familiar with the disciplinary policy of the Department.	1	2	3	4	5	
37	I participate in the disciplinary policy making processes of the Department.	1	2	3	4	5	
38	HR implements the decisions of the chairperson of the hearing.	1	2	3	4	5	
39	The Director General approves the decision of a chairperson of the hearing.	1	2	3	4	5	
40	There is political interference with the disciplinary process.	1	2	3	4	5	
41	Suspended officials are allowed to resume duty after the expiry of 60 days as prescribed by law.	1	2	3	4	5	
42	Warnings are used as a form of correcting the conduct of employees.	1	2	3	4	5	
43	Appeals are dealt with within the prescribed timeframe of 30 days.	1	2	3	4	5	
44	Monitoring and evaluation outcomes assist to improve the standard of discipline management.	1	2	3	4	5	
45	Appropriate disciplinary action must be considered against managers who fail to maintain discipline in their respective units.	1	2	3	4	5	
46	The setting of discipline performance standards is a necessary tool to influence management decision.	1	2	3	4	5	
47	The Monitoring Performance Assessment Tool (MPAT) assist to improve the standard of discipline management in the Department.	1	2	3	4	5	
48	Progressive discipline assist to improve the conduct of an employee.	1	2	3	4	5	
49	I prefer the informal disciplinary process on less serious acts of misconduct.	1	2	3	4	5	
50	The precautionary suspension is most often used for malicious reasons to settle scores.	1	2	3	4	5	
51	The suspension must be uplifted upon the expiry of the 60 days prescribed period.	1	2	3	4	5	
52	The precautionary suspension is a necessary measure to stabilise the work environment while the investigation is being conducted.	1	2	3	4	5	
53	Unions must be involved at the onset during the investigation to get first-hand information on the allegations against their members.	1	2	3	4	5	
54	The union must take action against a member who is guilty of misconduct or wrongdoing.	1	2	3	4	5	
55	Disciplinary reports are published/issued quarterly.	1	2	3	4	5	

Section C disciplinary framework

Number	Statement	Strongly Disagree	Disagree	Uncertain	Agree	Strongly Agree	For Office Use only
1	I know and comply with the Disciplinary Code and Procedures of the department.	1	2	3	4	5	
2	I have attended the Disciplinary Code and Procedures training workshop.	1	2	3	4	5	
3	I have signed the Code of Conduct.	1	2	3	4	5	
4	I regularly receive staff circulars on discipline management.	1	2	3	4	5	
5	The Disciplinary Code reviewed periodically.	1	2	3	4	5	
6	I am invited to participate in the review of the disciplinary policy.	1	2	3	4	5	
7	Corruption cases are dealt with decisively.	1	2	3	4	5	
8	I am allowed to present my case when disciplinary steps are taken against me for poor performance.	1	2	3	4	5	
9	Non-compliance is considered as a serious misconduct.	1	2	3	4	5	

Appendix B

GENERAL RULES

Research title: **EFFECTIVENESS OF THE PUBLIC SERVICE DISCIPLINARY FRAMEWORK FOR THE DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION**

1. This is a voluntary consent to take part in the survey with no personal gain from this exercise, and agreed that the response provided will be used for research purposes only.
2. You were selected and invited to participate in this study because, you are an administrative employee and exposed to the topic under study and may provide valuable insight.
3. You are kindly requested to answer the questions as honestly and completely as possible.
4. The questionnaire will take a maximum of 30 minutes to complete.
5. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
6. No one will be able to connect you to the answers you give.
7. The information collected from you will be treated with strict confidentiality and used for research purposes only.
8. You have the right to withdraw your participation at any time, hence your participation is regarded as voluntarily.
9. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
10. The survey data will be stored in a locked cupboard and the data stored in a computer will be protected by the use of a password.
11. The survey data will be destroyed when it is no longer of functional value (after five years).
12. A copy of the dissertation will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria.

SECTION 1: General questions

Please tick (x) the appropriate box

1. What is your gender?

Gender	Tick X
Female	1
Male	2

2. What is your category?

Level	Tick X
CD	1
DDG	2

3. What is your race?

Race	Tick X
Black	1
Coloured	2
White	3
Indian	4

SECTION 2: OPEN ENDED QUESTIONS

You are kindly requested to be frank in answering this part by giving your own honest opinion.

2.1 Disciplinary framework

How effective is the disciplinary policy in the department?

2.2 Disciplinary outcomes

What are the influences of management with regards to disciplinary outcomes?

2.3 Representation

How is it necessary to involve managers and shop stewards representation in disciplinary processes?

2.4 Monitoring and evaluation

How effective are the monitoring and evaluation measures on the conduct of employees?

2.5 Implementation

Which measures should be considered to enhance fair implementation of the disciplinary framework?

2.6 Policy review

How is it necessary to periodically review the disciplinary policy?

2.7 Training and awareness

How is training and employee awareness on the Disciplinary Code and Procedure necessary for effective discipline management?

2.8 Management advice

What is your perception about labour relations advice on the management of discipline?

2.9 Precautionary measures

What impact does precautionary suspension have on discipline management?

2.10 Performance indicators

What is your perception on Management Performance Assessment Tool (MPAT) in relation to performance improvement on discipline management?

**DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT
RESEARCH ETHICS REVIEW COMMITTEE**

Date: 29 April 2020

Ref #: PAM/2020/008(Shabangu)

Name of applicant : Mr KM Shabangu

Student #: 63683601

Dear Mr Shabangu

Decision Ethics Clearance Approval

Details of researcher:

Mr KM Shabangu, student #: 63683601, email: kooss@dsd.gov.za tel: 082 806 9716

Supervisor: S Kahn, staff#: 90121244, email: kahnsb@unisa.ac.za,

Research project: Disciplinary management at the Department of Public Service and Administration'

Qualification: Doctor of Philosophy in Public Administration

Thank you for the application for **research ethics clearance** submitted to the Department: Public Administration and Management: Research Ethics Review Committee, for the above mentioned study. Ethics approval is granted. The decision will be tabled at the next College RERC meeting for notification/ratification.

For full approval: The application was **reviewed** in compliance with the *Unisa Policy on Research Ethics* and the *Standard Operating Procedure on Research Ethics Risk Assessment*

The proposed research may now commence with the proviso that:

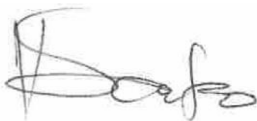
- 1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.
- 2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee.



The researcher will conduct the study according to the methods and procedures set out in the approved application.

- 3) Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
- 4) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study, among others, the **Protection of Personal Information Act 4/2013**; **Children's Act 38/2005** and **National Health Act 61/2003**.
- 5) Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.
- 6) Field work activities **may not** continue after the expiry date of this ethics clearance, which is 29 April 2023. Submission of a completed research ethics progress report will constitute an application for renewal of the ethics clearance certificate for approval by the Research Ethics Committee.

Kind regards



Dr V Sambo

Chairperson: Research Ethics Review
Committee
Department of Public Administration and
Management
Research Ethics Review Committee Email : mogalmt@unisa.ac.za
Email : Esambovt@unisa.ac.za



Prof MT Mogale

Executive Dean:
College of Economic and Management
Sciences
Office tel. : 012 429-4805;

Office tel. : 012 429-4355;

Appendix D

the dpsa
Department.
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

Private Bag Pretoria, 0001

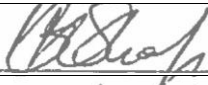
Declaration of Impartiality, Confidentiality and Interest

Activity reference: Conduct of Research I, the undersigned, hereby declare that I agree to participate in the abovementioned activity. By making this declaration, I confirm that I have familiarised myself with the information available to date concerning the abovementioned activity. I further declare that I shall execute my responsibilities honestly and fairly.

I am independent of all parties which stand to gain from the outcome of this process. To the best of my knowledge and belief, there are no facts or circumstances, past or present, that could arise in the foreseeable future, which might call into question my independence in the eyes of any party.

I agree to hold in trust and confidence any information or documents ("confidential information") disclosed to me or discovered by me or prepared by me in the course of or as a result of this process and agree that it shall be used only for the purposes of this process and shall not be disclosed to any unauthorised party. I also agree not to retain copies of any written information or prototypes supplied.

Confidential information shall not be disclosed to any person. I am fully aware of the serious consequences (a disciplinary action) that may follow any breach / contravention of the above provisions and instructions.

Name:	SHARANGU
Designation/Rank: I	/20c.772
Signature:	
Date:	12/12/2019.

The Presidency

Private & Confidential

Appendix E

the dpsa

Department:
Public Service and Administration

**REPUBLIC OF SOUTH AFRICA
CONFIDENTIALITY AGREEMENT**

I KOOS MSONGELWA SHABANGU..... (Full names and surname)
having been granted approval to do research in the Department of Public Service and
Administration agree to:

- + Use any data and information obtained during my research in the DPSA with the strictest confidence and only for the purpose stated in my application, and
- ❖ Submit a copy of my research report to the DPSA library, addressed to THE DIRECTOR — GENERAL: DPSA, attention Director: HRA& D.


RESEARCHER

NAME AND SURNAME: KOOS SHABANGU.....

DATE: 12 DECEMBER 2019

EMPLOYER.....

DOG: ADMINISTRATION

DATE
.....

Appendix F: Supervisor approval

Applicant: Principal Researcher

Full name in Print: Koos Msongelwa Shabangu

Signature: 

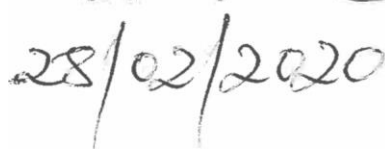
Date signed: 27/2/2020

Approved by supervisor (if applicable):

To my knowledge the student has addressed all aspects in his/her application for research ethics approval set forth in the University of South Africa's Policy for Research Ethics. I confirm that the form is complete according to Appendix A. I will ensure that the student notifies the committee in writing if any changes to the research are proposed that may affect any of the study-related risks for the research participants such as methodology, sampling, questionnaire, interview schedule, etc. Subsequently, I approve the submission and recommend that approval is granted for the research.

Full name in  Print:

Signature: 

Date signed: 

Please complete the rest of the form below. C_HumanParticipant Application Form 1, V 3 (SRIPCC 14 102/1 9); V2
(Approved by URERC 3 Feb 2017; VI approved 27 June 2016)

Appendix G

Professor Richard Levin
Director General
Department of Public Service and Administration
Private Bag 916
Pretoria
0001

Dear Prof Levin

I, Mr Koos Msongelwa Shabangu, am doing research on discipline management in the Department of Public Service and Administration (DPSA) with Prof Sinval Kahn as supervisor, in the Department of Public Administration and Management, towards a Doctor in Philosophy of Public Administration (subject Public Administration) at the University of South Africa.

The title of the research is: EFFECTIVENESS OF THE PUBLIC SERVICE DISCIPLINARY FRAMEWORK FOR THE DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION.

The study is aimed at evaluating the effectiveness of the disciplinary framework in the management and the prompt finalisation of cases within DPSA. The main objective of the study is to evaluate the effectiveness of the disciplinary framework in the DPSA.

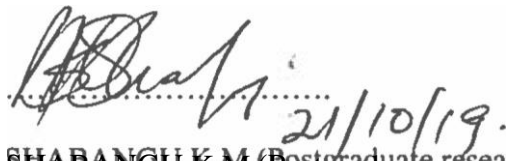
This a mixed method study involving personal interviews with staff members including the members of the Departmental Bargaining Chamber (DBC). An e-mail will be used to distribute the questionnaire.

Participants will remain anonymous to protect their identity. The distribution of the questionnaire will be administered, for receiving and collecting the responses, so as to avoid direct response to the researcher.

The researcher ensures the department that the research in general and the research methods used in particular will in no way cause harm to the participants. Feedback procedure will entail debriefing of the research findings and sharing the researcher's interpretation with the department and various participants to avoid researcher bias and ensure the soundness of the research.

I would be very grateful to you, DG, if you may please grant permission to conduct this research. I would like to ensure you that in no circumstances will my study encroach onto the normal duty of the participants involved.

Yours sincerely



SHABANGU K.M (Postgraduate research student)

kooss(a .dsd."ov.za

APPENDIX H

Cape Town
27 January 2022

To whom it may concern,

This letter confirms that the manuscript detailed below was edited for proper English language grammar, punctuation, spelling, and overall style by a qualified and highly experienced native English-speaking editor:

Manuscript title: **DISCIPLINARY MANAGEMENT AT THE DEPARTMENT OF PUBLIC
SERVICE AND ADMINISTRATION**

Author: **KOOS MSONGELWA SHABANGU**

Neither the research content nor the author's intentions were altered in any way during the editing process. The editor makes no claim as to the accuracy of the research content or objectives of the author. The document above as edited is grammatically correct and ready for publication; however, the author has the ability to accept or reject the editor's suggestions and changes after the editing process is complete, and prior to submission to any journal or examining body.



Marianne Kapp
0824813300

Appendix I

429

Telephone: (012) 429 3913 Enquiries: Prof SB Kahn



University of South Africa
PO Box 392
Pretoria
0003
30 May 2018


PERMISSION TO CONDUCT RESEARCH: STUDENT NUMBER: 3683601 MR K SHABANGU

This is confirmation that Mr K Shabangu is a candidate of the Doctoral programme in the Department of Public Administration and Management in the Faculty of Economic and Management Sciences at the University of South Africa. The intensive research of this subject will not only be beneficial to this institution but more especially to the Department of Public Service and Administration and the broader South African public sector.

Mr Shabangu is half way with his studies. He has completed chapters 1 to chapter 4. These chapters include the literature review of the study. The remaining part of the study which includes the data collection and statistical analysis require permission from your institution so that he can complete the research. The University has granted provisional approval for ethical clearance for Mr Shabangu to collect data.

Permission to conduct this research will allow Mr Shabangu to complete his studies. The Department of Public Administration and Management wish Mr Shabangu all of the best with his studies.

Yours sincerely,



PROFESSOR SB KAHN

PROFESSOR SB KAHN
PROMOTOR
DEPARTMENT OF PUBLIC ADMINISTRATION AND

MANAGEMENT

University of South Africa

Prefers Street, Pluckienuk Ridge, City of Tshwane PO Box 392 UNISA 0003 South Africa Telephone, +27 1 2 429 111
Facsimile: +27 1 2 429 4 1 50 www.umsa.ac.za

Appendix J

Detail of Cronbach Alpha analysis

F1


Multivariate Correlations

	B17	B33	B1	B37	B5	B27	B26	B18
B17	1.0000	0.7621	0.6951	0.5737	0.6214	0.6509	0.3470	0.5448
B33	0.7621	1.0000	0.6763	0.6675	0.7071	0.6765	0.2348	0.4647
B1	0.6951	0.6763	1.0000	0.5663	0.7857	0.5441	0.2501	0.4387
B37	0.5737	0.6675	0.5663	1.0000	0.4692	0.5550	0.2458	0.4034
B5	0.6214	0.7071	0.7857	0.4692	1.0000	0.5730	0.1785	0.4306
B27	0.6509	0.6765	0.5441	0.5550	0.5730	1.0000	0.4460	0.4878
B26	0.3470	0.2348	0.2501	0.2458	0.1785	0.4460	1.0000	0.3973
B18	0.5448	0.4647	0.4387	0.4034	0.4306	0.4878	0.3973	1.0000
B55	0.4480	0.6375	0.4540	0.4457	0.5212	0.4106	0.1439	0.2883


The correlations are estimated by Row-wise method.

Cronbach's α

	α
Entire set	0.8960



Excluded Col	α
B17	0.8751
B33	0.8714
B1	0.8761
B37	0.8846
B5	0.8784
B27	0.8788
B26	0.9065
B18	0.8919
B55	0.8929



F2

Multivariate Correlations

	B16	B42	B51	B11	B6	B36	B9 2
B16	1.0000	0.5761	0.5488	0.4044	0.3978	0.2120	0.4049
B42	0.5761	1.0000	0.5363	0.4237	0.4485	0.2417	0.5001

	B16	B42	B51	B11	B6	B36	B9 2
B51	0.5488	0.5363	1.0000	0.3508	0.3171	0.2319	0.3450
B11	0.4044	0.4237	0.3508	1.0000	0.2281	0.2390	0.3644
B6	0.3978	0.4485	0.3171	0.2281	1.0000	-0.0449	0.3592
B36	0.2120	0.2417	0.2319	0.2390	-0.0449	1.0000	0.0301
B9 2	0.4049	0.5001	0.3450	0.3644	0.3592	0.0301	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α
Entire set	0.7838

Excluded Col	α
B16	0.7258
B42	0.7167
B51	0.7391
B11	0.7588
B6	0.7749
B36	0.8076
B9 2	0.7580

F3

Multivariate Correlations

	B30	B20	B15	B21
B30	1.0000	0.6306	0.7107	0.4878
B20	0.6306	1.0000	0.6245	0.6029
B15	0.7107	0.6245	1.0000	0.4552
B21	0.4878	0.6029	0.4552	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α
Entire set	0.8421

Excluded Col	α
B30	0.7733
B20	0.7801
B15	0.8002

Excluded Col	α
B21	0.8406

F4

Multivariate Correlations

	B28	B29	B46	B47	B34
B28	1.0000	0.4240	0.2130	0.3802	0.3950
B29	0.4240	1.0000	0.3915	0.3756	0.4815
B46	0.2130	0.3915	1.0000	0.5672	0.2097
B47	0.3802	0.3756	0.5672	1.0000	0.2595
B34	0.3950	0.4815	0.2097	0.2595	1.0000

There are 1 missing values. The correlations are estimated by REML method.

Cronbach's α

	α
Entire set	0.7450

Excluded Col	α
B28	0.7093
B29	0.6734
B46	0.7083
B47	0.6860
B34	0.7210

F5

Multivariate Correlations

	B52	B53	B54
B52	1.0000	0.4499	0.2942
B53	0.4499	1.0000	0.6679
B54	0.2942	0.6679	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α
Entire set	0.7334

Excluded Col	α	
B52	0.7981	
B53	0.4529	
B54	0.6114	

F6 not reliable

Multivariate Correlations

	B22 2	B8	B2
B22 2	1.0000	0.1431	0.1172
B8	0.1431	1.0000	0.3870
B2	0.1172	0.3870	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α	
Entire set	0.4286	

Excluded Col	α	
B22 2	0.5499	
B8	0.2010	
B2	0.2491	

F7 not reliable

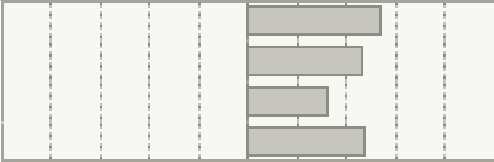
Multivariate Correlations

	B24 2	B35	B10	B43
B24 2	1.0000	0.0527	0.3901	0.0241
B35	0.0527	1.0000	0.2671	0.3113
B10	0.3901	0.2671	1.0000	0.2596
B43	0.0241	0.3113	0.2596	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α	
Entire set	0.5281	

Excluded Col	α	
B24 2	0.5379	
B35	0.4621	
B10	0.3247	
B43	0.4745	

F8 not reliable


Multivariate Correlations

	B7	B40	B14
B7	1.0000	0.3542	0.3414
B40	0.3542	1.0000	0.1159
B14	0.3414	0.1159	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α	
Entire set	0.5096	

Excluded Col	α	
B7	0.2076	
B40	0.5032	
B14	0.5146	

Section C


F1

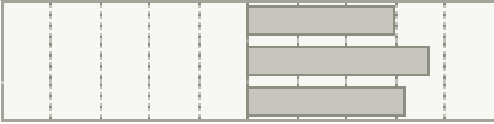
Multivariate Correlations

	C9	C4	C8
C9	1.0000	0.4690	0.5775
C4	0.4690	1.0000	0.4228
C8	0.5775	0.4228	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α	
Entire set	0.7363	


Excluded Col	α	
C9	0.5899	
C4	0.7322	
C8	0.6339	

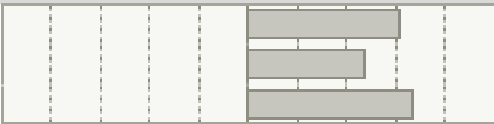
Multivariate Correlations

	C3	C5	C7
C3	1.0000	0.5064	0.3088
C5	0.5064	1.0000	0.4481
C7	0.3088	0.4481	1.0000

The correlations are estimated by Row-wise method.

Cronbach's α

	α	
Entire set	0.6785	

Excluded Col	α	
C3	0.6140	
C5	0.4718	
C7	0.6688	

F3
cannot be tested