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IMPLEMENTATION OF THE INSTITUTIONAL PLANS IN THE GAUTENG PROVINCIAL LEGISLATURE

By

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1413770

"A research report submitted to the University of the Witwatersrand, Faculty of Commerce, Law, and Management, in partial fulfilment of the requirements for the degree of Master of Management in the field of Public Policy."

Supervisor: Professor Pundy Pillay

February 2023

DECLARATION

I, Yolanda Ngonini, declare this research report to be my own research. It is submitted in fulfilment of the requirements of the degree of Master of Management in the field of Public Policy at the University of the Witwatersrand, South Africa. It has not been submitted before for any degree or examination at any other university nor has it been any other School within the University of the Witwatersrand, South Africa."

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Yolanda Ngonini

22 February 2023

ABSTRACT

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Title of thesis: Implementation of the Institutional Plans in the Gauteng Provincial Legislature

This research examined the implementation of institutional plans in the Gauteng Provincial Legislature (GPL). This research applied a qualitative design with the aid of a case study. Research respondents were chosen through a purposive selection. Semi-structured interviews were utilised in collecting data and thematic analysis is applied in the analysis of the data gathered. Institutional plan implementation was shown to be a critical part of the GPL and its effectiveness determined the extent to which the GPL could deliver its mandate as enshrined in the Constitution. The research further revealed that the plans were usually quarterly or annual, depending on the anticipated targets of the GPL. However, despite ensuring the effective implementation of the institutional plans, the research revealed that this process was undermined by several factors, chief amongst them being the inability of those in the top echelons of the GPL to include all key interested parties in the planning process. Failing to involve those with a high stake and influence in the GPL plans meant that the implementation was marred by bottlenecks. In light of these challenges, the research recommends the need to apply a multi-stakeholder approach in the planning and implementing of institutional plans in South African provincial legislatures. Effective communication was also identified as a missing link, hence there is a need to address this challenge by ensuring that implementing institutional plans within the GPL is a process that is inclusive and accommodating the needs stakeholders directly or indirectly involved.

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LIST OF ABBREVIATIONS

APP	Annual Performance Plan
COVID-19	Coronavirus Pandemic
EA	Executive Authority
FMPPLA	Financial Management of Parliament and Provincial Legislatures Act
FY	Financial Year
GP	Gauteng Province
GPG	Gauteng Provincial Government
GPL	Gauteng Provincial Legislature
LPD	Limpopo's Provincial Department
MPLs	Members of Provincial Legislature
MTEF	Medium-Term Expenditure Framework
SMART	Specific, Measurable, Attainable, Realistic, and Time-frame
SPME	Strategy, Planning, Monitoring and Evaluation

CHAPTER ONE: INTRODUCTION AND BACKGROUND TO THE RESEARCH

1.0 INTRODUCTION

Institutional plan implementation is “the process of turning plans into action to realise the desired results” (Yeager, El-Ghali, & Kumar, 2013, p.6). According to Plant (2009), Poister (2010), and Lagzian, Abrizah, and Wee (2015), the critical feature of a successful institutional plan is successful implementation. This means that institutional planning is not sufficient; the most excellent institutional plan alone does not provide value unless the plan is implemented successfully. Yeager *et al.* (2013) suggest that planning is of little value unless the plan is effectively implemented. This is supported by Olivier and Schwella (2018) who posit that the significance of institutional plan implementation in achieving goals has been gradually receiving recognition, even though successful implementation remains challenging in the corporate and public sectors (Olivier & Schwella,2018).

The Gauteng Provincial Legislature (GPL) formulates and implements institutional plans to achieve its mandate of providing instruments to pass laws and oversee the executive implementing laws. To do this, the GPL invests financial and non-financial resources into developing and implementing institutional plans to achieve its institutional objectives. However, as Olivier and Schwella (2018) noted, successful implementation remains a challenge across all sectors. As a result of this challenge, objectives articulated in planning documents are not often achieved. Based on this background, this research examines the implementation of institutional plans in the GPL.

1.1 BACKGROUND TO THE RESEARCH

1.1.1 Institutional Planning and Implementation in the South African Legislative Sector

South Africa’s law of the land, the Constitution, stipulates that the state comprises three branches: the executive, the legislature, and the judiciary. These branches are distinctive, interdependent, and interrelated. The legislative arm, which is at the core of this research, consists of Parliament and its nine provincial assemblies (legislatures). The National Parliament and Provincial Legislatures derive their mandate to oversee executive authority and deliberate on, amend, pass, or reject bills from Act 108 of 1996 (Parliament, 2017).

The Financial Management of Parliament and Provincial Legislatures Act (2009), for this research known as “FMPPLA 2009”, states legislators must within their five-year terms develop institutional, strategic, and annual performance plans in order to fulfil and execute their constitutional mandate. The introduction of institutional plans in the South African Parliament dates back to 1997. Parliament (2015) states that institutional plans are necessary to implement organised and consistent planning and monitor and evaluate the implementation of programmes as well as the overall assessment of the progress of the implementation of programmes in Parliament. Moreover, the declaration of the 1999 Public Finance Management Act (PFMA) permitted the Legislature to take up supervision of the PMFA. Strategic plans, annual reports, periodic reports, and the budget vote took effect in 2002 (Treasury Limpopo Province, 2012).

Department of Planning, Monitoring and Evaluation (2019) asserts that strategic planning sets the outcomes for the organisation and contributes to the accomplishment of the government’s priorities. Additionally, the Annual Performance Plan (APP) reflects yearly outputs to be applied in achieving results and statements stated in the strategic plan (Department of Planning, Monitoring, and Evaluation, 2019).

1.1.2 The Legislative Framework on Institutional Planning and Implementation in the Provincial Legislatures in South Africa

The Legislative Sector established the regulatory framework to guide legislatures in implementing institutional plans. The 1996 Constitution and the 2009 FMPPLA are key legislations that guide the activities of the legislative sector. The provincial legislatures and national parliament are mandated by the FMPPLA, in particular section 13, which posits that the Executive Authority should have control in the preparing of the strategic plans and the APP, and the budget and tables them in Parliament. Section 14 (1) indicate that the accounting officer ought to prepare a draft strategic plan. Furthermore, the provincial legislatures, through the accounting officer, are required to develop institutional plans, ensure that there is enough resource for implementing the plans, track progress, and present the progress (Gauteng Provincial Legislature, 2014).

1.1.3 History, Description, Structure, and Functions of the Gauteng Provincial Legislature

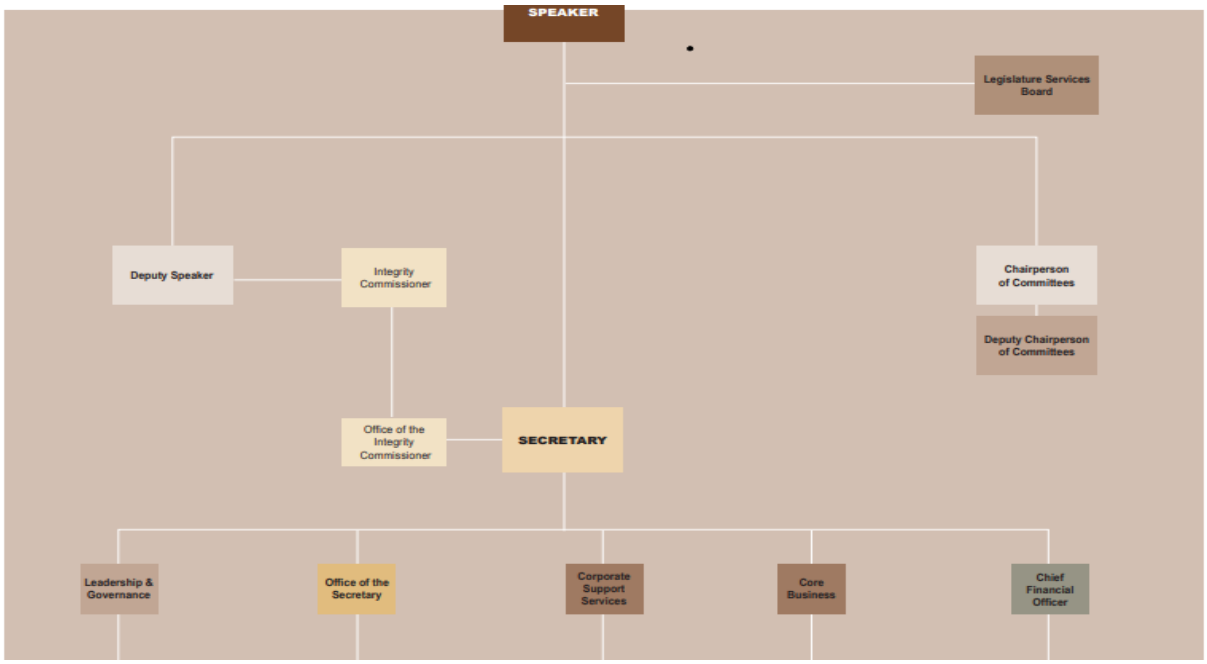
The GPL is the legislative arm of the Gauteng Province responsible for governing the affairs of the people in the province and consists of members of the Provincial Legislature (MPLs) drawn from the various political parties. The GPL is mandated to make laws, and conduct oversight and scrutiny (Gauteng Provincial Legislature, 2020). The MPLs make laws to address needs affecting the people of Gauteng Province and conduct oversight on the Gauteng Provincial Departments to assess the level and quality of services provided by the departments in the Gauteng Province (Gauteng Provincial Legislature, 2020). The values of social equity guide the work of the GPL: outcome-orientated, ubuntu; transparency; accountability, and integrity (Gauteng Provincial Legislature, 2020).

In terms of the composition of the GPL, there is a speaker and MPLs who hail from different political parties. The MPLs also form the various portfolio committees that assist in executing the conduct of the business of the House, particularly the oversight role over the members of the Executive. These committees can be regarded as shadow ministerial/departmental committees as they are established in terms of the different clusters of departments that make up the Provincial Government (Gauteng Provincial Legislature, 2019).

The GPL also has committees called the standing committees that deal with diverse governance issues such as passing Bills. Ad hoc committees are also formed occasionally to consider arising issues that require specialised expertise (Gauteng Provincial Legislature, 2019). All committees are complemented by the support staff of the GPL, who provide operational support to members of the committees.

The administrative branch of the GPL is headed by the provincial secretary, also known as the secretary. The secretary is supported by executive directors, directors, and managers in the functional streams of the GPL. This team of officials ensures the effective and efficient realisation of the GPL's vision, mission, and mandate as depicted in the organogram of the GPL below.

Figure 1.1: Organisational Structure of the Gauteng Provincial Legislature:



Source: (Gauteng Provincial Legislature, 2020)

The operations of the GPL are implemented from its GPL office in the Johannesburg central business district. The GPL functions at various levels and comprises different actors. For example, the presiding officers, house committees, political parties, political party staff, administrative leadership, and administrative staff. The leadership and administrative staff implement institutional plans through five sub-units with different reporting lines (Gauteng Provincial Legislature, 2012).

In line with The Presidency (2014), the GPL develops five-year strategic plans and produces its APP towards achieving its strategic mandate. The GPL moved from an individually based APP, where committees and administration programmes had separate APPs, to an individual integrated institutional APP in the 2017/18 financial year (FY). This institutional APP centralises planning and performance reporting under a single APP for the GPL. Performance indicators and targets moved from measuring inputs towards measuring process outputs, and some to an extent measure the results i.e., striving to measure things that matter (Gauteng Provincial Legislature, 2019). These changes

affected the number of performance indicators and targets previously measured. For example, from 241 in 2015/2016 and 52 in 2016/2017 to 17 in 2017/2018.

The performance of the institutional plans is monitored using methods and means entrenched in the legislative framework governing the GPL administration. These include the Integrated Planning, Budgeting, Monitoring, Evaluation, and Reporting Framework to guide the Planning and Reporting, which was introduced in the 2017/18 FY.

Another means is the Monitoring and Evaluation Committee, which oversees the performance of the GPL by providing quality analysis of the quarterly and annual reports and related evidence to enhance the integrity of reported performance information (Parliamentary Monitoring Group, 2012). Furthermore, the Monitoring and Evaluation Committee is responsible for seamless planning, budgeting, and reporting. As reflected in the Gauteng Provincial Legislature (2019), Monitoring and Evaluation deliver guidance and support to the GPL functional streams, ensuring that their respective performance-reported evidence reflects their key performance indicators. In addition, it assists the auditing process to ensure that the GPL attains a clean audit (Gauteng Provincial Legislature, 2019).

However, according to Gauteng Provincial Legislature (2018), the performance against predetermined objectives has shown a slight decrease in achievement, with 90% of targets being achieved during the 2015/2016 FY, 83% in the 2016/2017 FY, and 82% in 2017/2018 FY. It is noticeable that since the move to an individual-based APP, the institution has failed to meet targets as outlined in the GPL's annual performance policies. The research, therefore, seeks to examine how the GPL implements its institutional plans by paying particular attention to the factors responsible for the failure to meet the predetermined targets and milestones as espoused in the institutional plans.

1.2 PROBLEM STATEMENT

The poor implementation of GPL institutional plans, coupled with the non-realisation of the set objectives, has resulted in poor service delivery. As per the guidelines in The Presidency (2014), the GPL formulates its annual institutional plan, with minimal success witnessed in the achievement of its performance milestones against the planned targets.

The general failure in the implementation of the GPL's annual performance plans has led to poor service delivery and the inability to achieve the majority of set targets, such as providing quality services, public value, and public goods, and this prompted the carrying out of this research. The low levels of success are largely due to substantial gaps between institutional strategic planning and the execution of institutional plans.

There has been a noticeable decrease in institutional performance against planned performance since 2018 relative to resource allocation and expected outcomes. Overall, the GPL recorded a 65% achievement rate of its targets planned for the 2020/2021 FY. According to the Gauteng Provincial Legislature (2018), the performance against predetermined objectives has shown a significant decrease, with 90% of targets being achieved in the 2015/2016 FY, 83% in the 2016/2017 FY, and 82% in the 2017/2018 FY.

This presents an implementation problem where there is no proper implementation of institutional plans, much to the detriment of the responsibility of the GPL, which is entrusted by the Constitution to make sure the executive is accountable for implementing of policy and regulations enacted by Parliament as well as the execution of its approved financial plans and activities (Parliament, 2017). It is, therefore, important to investigate implementing institutional plans and the barriers to effective implementation so as to proffer suggestions and policy measures to improve the overall performance of the GPL as provided for in institutional plans.

Several studies on the application of institutional plans have been conducted to date. Of note is a 2014 study by Sebola and Mahlatji, called "The challenges involved in planning and implementing the strategy in Limpopo, in the Department of Economic Development, Environment, and Tourism". Ngcobo and Mdani (2015) also investigated the assessment of strategies to help municipalities in South Africa improve service delivery. Other studies have focused on the formulation of strategy, the relationships that exist between departments and strategies, facilitators, communications, the implementation strategies employed, commitment and training procedures, and the organisational structures, culture, and administrative systems to strategic plan implementation. However, there is no account of previous studies on institutional plans in the GPL. The existing studies have

examined different sets of factors in different contexts, which limits their application in the case of GPL. This, as a result, creates a research gap that necessitates this research's undertaking. As a result, this research aims to bridge this intellectual void by examining the implementation of institutional plans by the GPL in its quest to achieve its set objectives of meeting service delivery targets.

1.3 PURPOSE STATEMENT

This research examines the implementation of the institutional plan in the GPL. The research reviews the literature on implementing an organisation's plans and/or strategy in South Africa to understand the challenges and success factors. Secondly, examining past studies and frameworks helps this research establish frameworks that can interpret the findings on implementing institutional plans. Thirdly, this research collects and analyses data on implementing institutional plans in the GPL.

Fourthly, this research presents findings about institutional plan implementation in the GPL. The research further identifies measures that can be considered in the implementation of the institutional plans in the Legislature. In addition, recommendations regarding institutional plan implementation are presented.

This research will add to existing knowledge on the subject matter of institutional plan implementation. It also seeks to contribute to addressing the knowledge gap relating to institutional plan implementation challenges within the legislative sector thus submitting a clear understanding of the issues around institutional plan implementation.

1.4 RESEARCH OBJECTIVES

The main objectives of this research are to:

- Examine the implementation of the institutional plans in the GPL and the understanding of implementers.
- Identify the challenges encountered in implementing institutional plans at the GPL.
- Suggest measures that can be adopted to support the successful implementation of Institutional Plans at the GPL.

1.5 RESEARCH QUESTIONS

This research aims to answer the following questions:

- What is the nature of the implementation of the institutional plans in the GPL?
- What are the challenges encountered in the successful implementation of institutional plans at the GPL?
- What measures could be adopted in ensuring the institutional plans of the GPL are successfully implemented in promoting the effective delivery of services?

1.6 SCOPE OF THE RESEARCH

The research is limited to the GPL in South Africa. This has been necessitated by the limited information available regarding institutional plan implementation in South Africa's legislative sector. Institutional plans in the GPL comprise the strategic, annual performance, and operations plans. Nevertheless, this research is focused only on yearly performance planning. Department of Planning Monitoring and Evaluation (2019) adds that the yearly performance planning lays out deliverables towards attaining results and statements echoed in the plans.

The GPL has various levels of management and political and administrative leadership. Managers are responsible for planning and executing plans at the programme level and implementing internal controls and thus may have the expert knowledge to respond to the questions. However, concerning this research, only a sample of specialists and managers has been used as the research scope. Specialists who interact with various plans in their work can provide unique insights and personal experiences in implementing institutional plans. Furthermore, this sample of officials works extensively in policy implementation compared to the executives in management, who play a more strategic decision-making role; hence the specialists and managers are utilised as a sample in researching institutional plan implementation in the GPL.

1.7 SIGNIFICANCE OF THE RESEARCH

This research provides insight into how the GPL implements its institutional plans, the challenges to effective implementation of institutional plans, and the measures that can

be adopted and implemented in ensuring that the implementation of the institutional plans is a success. The research will therefore be of use to decision-makers and implementers in the GPL in implementing their institutional plans. The findings can potentially unearth some challenges and success factors and propose practical interventions to counter the challenges that will solve the existing challenges associated with poor implementation of institutional plans. The research also has the potential to augment the current information base and additionally fill the information void existing in institutional plan implementation within the legislative sector in the Gauteng Province. Furthermore, the research uses the results to conclude and provide recommendations.

1.8 DEFINITIONS OF KEY TERMS

1.8.1 Strategic Plan

Department of Planning Monitoring and Evaluation (2019, p.23) defines a strategic plan as a "five-year institutional programme of action and projects aimed at contributing to the attainment of the overall priorities of government administration and the attainment of the mandate of the organisation." Strategic planning also classifies ways by which an institution can be assessed by Parliament, local government, and communities.

1.8.2 Institutional Plan

According to the American Alliance of Museums (2012), an institutional plan is a document that guides the procurement, growth, and allocation of resources. It includes selected action steps, creates timelines, and allocates responsibilities for implementing the plan. The plan is generally multi-year and has measurable goals and methods by which the museum evaluates success.

1.8.3 Annual Performance Plan

Department of Planning, Monitoring and Evaluation (2019, p.13) defines an Annual Performance Plan "as a summary of outputs, output indicators, and targets that an organisation seeks to achieve in a financial year, and it is related to the outcomes outlined in the strategic plan."

1.9 REPORT OUTLINE

Chapter One introduces the research and encompasses aspects such as the research background, research questions, and objectives. It also serves as the preliminary research summary.

Chapter Two reviews existing literature on the research topic as well as presents and discusses the theoretical framework utilised.

Chapter Three discusses the research methodology utilised in collecting and analysing the information collected during investigations.

Chapter Four reveals research findings from collected data.

Chapter Five analyses the findings reported in Chapter four.

Chapter Six concludes and summarises the research. Recommendations are also presented.

CHAPTER TWO: LITERATURE REVIEW

2.0 INTRODUCTION

This chapter covers the contested understandings and the various meanings of institutional plan implementation. The significance of both institutional plan implementation and institutional planning is discussed. Other main issues discussed in this chapter include challenges to institutional planning and implementation, as well as global and local evaluation studies on implementing an institutional plan. Theories grounding the research are also highlighted.

2.1 LITERATURE REVIEW

The reviewing of literature is defined as “a process of selecting documents in order to acquire data, insights, and information on a particular topic and at times in a particular time to allow the researcher to address the research problem the research seeks to solve and to communicate the varied perceptions regarding the field of inquiry” (Ramdhani & Ramdhani, 2014, p.47). It presents a comprehensive substance of knowledge on existing literature (Snyder, 2019). This is supported by LoBiondo-Wood and Haber (2014) who explain that a literature review also identifies gaps in the existing body of knowledge. The literature review brings forth a broad understanding of the particular area of research. From this understanding, the researcher can pick up theoretical frameworks, perceptions, and opinions surrounding a certain area of research. Discrepancies and contradictions are also uncovered (Wotela, 2016).

2.2 THE IMPORTANCE OF A LITERATURE REVIEW

The literature review is significant to research as it makes a valuable contribution to almost every operational step (Kumar,2014). The literature review reveals existing gaps in the literature (Fink,2019). Reviewing literature review also makes it easy for a researcher to probe data to facilitate a decision on the research method to be employed in the research.

Furthermore, reviewing the literature allows the researcher to gather enough information to justify the significance of the research. Moreover, it offers information about methods that have been employed in other research studies and what methods have worked well, and which ones have not worked well. This means that the literature review unearths research approaches and data collection methods that have been employed in similar research studies.

2.3 THE EVOLUTION OF INSTITUTIONAL PLAN IMPLEMENTATION

2.3.1 History of institutional planning globally

On the history of strategic planning referred to as institutional planning in this research, Candy and Gordon (2011) found that strategic planning stems from the Hellenic language word "strategos" when translated it means superior general of the military army as it has its foundation in the army. During its inception, Candy and Gordon (2011) argue that the ancient Greek tribes elected the strategos on an annual basis to lead the regiment. In the battle of Marathon (490 BC), the strategoi gave advice to the senior political principal as a senior council and also provided strategic guidance on how battles should be managed in order to win wars, as opposed to tactical advice on managing troops for winning wars. These authors further pointed out that over a period of time, the strategoi's role expanded to include civil magisterial tasks as of their position as voted representatives, this was also translated to other inexperienced managers, and the similarities in the style and language used in both the army and business processes are patently obvious.

Millett (1986) affirms the similarities of the application of the values of the military strategy to the business competition which is known as strategic management. In recent times dates strategic management is used to mean the same as term strategic planning or institutional planning. Nowadays, strategic planning or institutional planning has more to do with the greater or bigger picture of the institutions and its focus is on the outcomes or results, as opposed to focusing on outputs or products.

2.4 THE EVOLUTION OF STRATEGIC PLANS (INSTITUTIONAL PLANS) GLOBALLY

Over the years, strategic planning has evolved to cover many institutional planning aspects, such as displayed in the following figure as suggested by Grant (2003).

Figure 2.1: The evolution of strategic plans

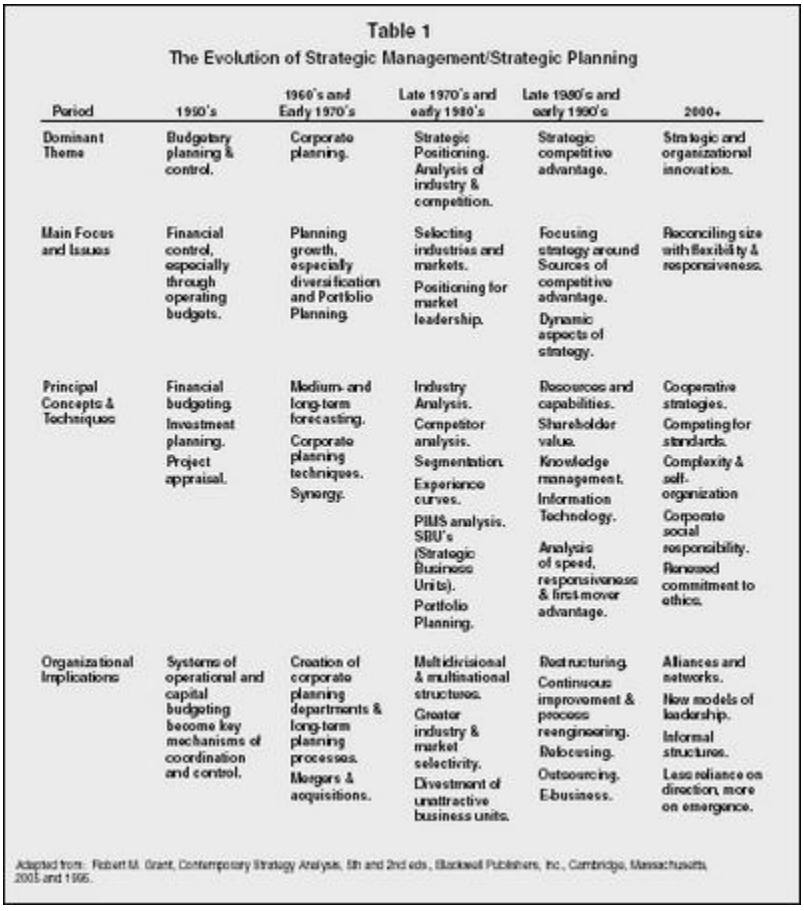


Table 1

The Evolution of Strategic Management/Strategic Planning

Period	1950's	1960's and Early 1970's	Late 1970's and early 1980's	Late 1980's and early 1990's	2000+
Dominant Theme	Budgetary planning & control.	Corporate planning.	Strategic Positioning. Analysis of industry & competition.	Strategic competitive advantage.	Strategic and organizational innovation.
Main Focus and Issues	Financial control, especially through operating budgets.	Planning growth, especially diversification and Portfolio Planning.	Selecting industries and markets. Positioning for market leadership.	Focusing strategy around Sources of competitive advantage. Dynamic aspects of strategy.	Reconciling size with flexibility & responsiveness.
Principal Concepts & Techniques	Financial budgeting. Investment planning. Project appraisal.	Medium- and long-term forecasting. Corporate planning techniques. Synergy.	Industry Analysis. Competitor analysis. Segmentation. Experience curves. PIMS analysis. SBU's (Strategic Business Units). Portfolio Planning.	Resources and capabilities. Shareholder value. Knowledge management. Information Technology. Analysis of speed, responsiveness & first-mover advantage.	Cooperative strategies. Competing for standards. Complexity & self-organization. Corporate social responsibility. Renewed commitment to ethics.
Organizational Implications	Systems of operational and capital budgeting become key mechanisms of coordination and control.	Creation of corporate planning departments & long-term planning processes. Mergers & acquisitions.	Multidivisional & multinational structures. Greater industry & market selectivity. Divestment of unattractive business units.	Restructuring. Continuous improvement & process reengineering. Refocusing. Outsourcing. E-business.	Alliances and networks. New models of leadership. Informal structures. Less reliance on direction, more on emergence.

Adapted from: Robert M. Grant, Contemporary Strategy Analysis, 5th and 2nd eds., Blackwell Publishers, Inc., Cambridge, Massachusetts, 2005 and 1998.

Source: (Grant,2003)

Blackerby (2013) postulates that in the early 1900s, the Harvard School of Business established the Harvard Policy Model which gave rise to the first institutional planning methodologies for corporate businesses. The Harvard Policy Model states that a strategy is a pattern of policies and purposes describing the company and businesses.

Consistently, Blackerby defines a strategy as the underlying logic or common thread that holds a company together in which institutions weave their policies and purposes in a way that joins the company resources, market information, senior management, and social obligations. Moreover, the researcher acknowledges that strategies determine the organisational structure and the appropriate strategies lead to organisations meeting their set objectives and are tied to improving the performance of an institution. Below is the 1950s Strategic Planning and Portfolio Model as conceived by Blacberby. The Strategic Planning and Portfolio Model is recognised as the pioneer of modern-day strategic planning.

Figure 2.2: 1950s Strategic Planning & The Portfolio Model



Source: (Horwitch,1987)

Additionally, Blackerby (2013) notes that in the late 1950-1960s, the importance of strategic planning changed from organisational structure and policy and incorporated the risk management of aspects, market share, and industry growth. The business sector labels this method of strategic planning the "portfolio model". It led to the rise of industrial conglomerates.

2.5 CONTESTED UNDERSTANDINGS AND MEANINGS OF INSTITUTIONAL PLAN IMPLEMENTATION

The American Alliance of Museums (2012) points out that an institutional plan, also referred to as a ‘strategic plan’ or sometimes a long-range plan, can be defined as a document guiding the growth, acquisition, and allocation of funds in the museum. It involves prioritising activities, developing timelines, and allocating tasks to implement the plan. The American Alliance of Museums (2012) further state that the plan has measurable goals and processes to track the museum's success.

In terms of terminology, most of the literature reviewed utilise the term ‘strategy implementation’ instead of ‘strategic plan implementation’ or ‘institutional plan implementation’. There are also very few studies that differentiate strategy implementation from strategic plan implementation or institutional plan implementation from the available literature that the researcher has reviewed. Consequently, this research will not distinguish institutional plan implementation from the strategic plan and also from strategy implementation. This report uses the latter term due to its frequency in the relevant literature reviewed.

Mišankováa and Kočišováa (2014) note that implementing strategies is a key aspect of strategic administration, with its achievement heavily dependent on an organisation’s employees and managers, as well as the overall culture of the company involved. The implementation of a strategy thus involves collecting all accessible and essential resources necessary for implementing the laid-out plans (Maleka, 2014).

Strategy implementation has been well-defined by several scholars across both time and space. Li, Guohui, and Eppler (2008) provide three different aspects of strategic implementation, namely strategy as a process, strategy as a behaviour, and strategy as a combination of both aspects, which is known as a hybrid plan. Ehlers and Lazenby (2010) support this notion of strategy implementation as a process and define strategic implementation as the practice that turns strategy into action toward accomplishing set goals. Andrews, Boyne, Law, & Walker, (2011) describe the process as a plan that is adequately conveyed, comprehended, agreed on, and executed throughout an

organisation. Maleka (2014) adds that strategy implementation involves the processing of a strategy into practice to meet set organisational objectives.

On the behavioural front, Musyoka (2011) regards strategy implementation as an administrative activity that entails team effort, motivating, building a high-performance culture, and ensuring a tight link between the strategy and operations. Similarly, Andrews et.al, (1969), cited in Cândido (2010), define the process as comprising a sequence of sub-activities that are predominantly administrative. Therefore, the process involves the operations and preferences vital in carrying out a plan.

Strategy implementation, according to Maleka (2014), describes the processes or activities that facilitate the carrying out of a strategy. Equally, strategy implementation is regarded as the process and the results visible when everything has been applied and executed (Miller, Wilson & Hickson, 2004). Yang, Sun & Eppler (2010) define strategy implementation as a combination of the processes involved as well as the behavioural perspectives. Additionally, the concept is defined as “an extremely iterative, dynamic and multifaceted process, it encompasses a series of decisions and events by supervisors and workers affected by interconnected internal and outer issues towards turning the strategic plans into reality to accomplish strategic objectives” (Yang, Sun & Eppler, 2010, p. 6).

2.6 SIGNIFICANCE OF INSTITUTIONAL PLAN IMPLEMENTATION

Thompson and Strickland (2001) argue that implementing strategy fixes organisational objectives to meet its financial, management, and operational goals. Maleka (2014) suggests that businesses implement plans through the formulation of budgets, activities, and policies. Lihalo (2013, p.4) states that some of the crucial processes include “the mobilisation of funds, the rearrangement, social, economic and cultural changes, technologic and scientific changes, process and systems changes, as well as policy and management changes”, and are some of the vital issues entailed in the process.

To demonstrate the scale of unsuccessful strategy implementation, Yang, Sun, and Eppler (2010) found that over time, 57% of businesses have failed to execute their

strategic goals. According to (Allio, 2005) another survey featuring high-ranking managers established that as much as 66% of businesses' strategic objectives fail to materialise, whereas (Kordnaeij, 2016); (Olivier & Schwella, 2018) claim around 90% of strategies implemented for both public and private fail.

Yang, Sun, and Eppler (2010, p.3) meanwhile state that "it is not shocking that, after an inclusive strategy or a single strategic decision has been crafted, substantial difficulties generally arise during the consequent implementation process." Meanwhile, Nelson, Martin & Powers (2008, p.61) state that "a rich strategy joint with technology and product development will theoretically give an institution a viable gain but remains impractical unless it is combined with the basics of great execution." Based on the foregoing, it is clear that the implementation of strategy is just as important as strategy formulation despite the former being the more difficult phase. Hrebiniak (2006), supports this by adding that although the formulation of a consistent strategy is a tough endeavour, achieving success in implementing the strategy is a more demanding task.

2.7 THE IMPORTANCE OF INSTITUTIONAL PLANNING IN ORGANISATIONS

Tarifi (2021) notes that various scholars have different opinions on strategic planning as it applies to an organisation. Fuertes, Alfaro, Vargas, Gutierrez, Ternero, & Sabattin (2020) acknowledge that institutional planning is inherent in organisations to investigate their future and to identify opportunities that support the organisation in meeting its objectives. Fuertes *et al*., (2020) further noted that for organisations to achieve their envisioned results, good institutional planning is imperative to steer focus and accountability. Moreover, Wells and Doherty (1994) argue that the benefits of strategic planning, which is used interchangeably with institutional planning for this research in organisations, are visible at every level of the organisation as well as in employee performance. In addition, Wells and Doherty (1994) propound that strategic development creates a culture of greater performance and accountability of economic resources. In concert with Wells and Doherty (1994), Moody (2017) acknowledges that the benefits of strategic planning create the foundations for developing a structure for decision-making.

Moody (2017) also puts forward the idea that developing strategies create effective tactics while guiding schedules and projects that assist in creating benchmarks for monitoring performances. Furthermore, Wells and Doherty (1994) postulate that institutional planning allows the leaders of implementing organisations to derive meaningful lessons by evaluating how the plans have performed and what challenges are affecting the organisation while coming up with ideas to solve the challenges. Tarifi (2021) holds the view that strategic planning provides organisations with platforms for optimising their systems to help them achieve their goal of having a competitive advantage over other organisations.

2.8 THE INTERNATIONAL EXPERIENCE OF THE CHALLENGES REGARDING INSTITUTIONAL PLANS IMPLEMENTATION.

2.8.1 The Finkelstein theory

Finkelstein (2004) identifies four circumstances wherein strategic planning failure is likely to happen; these are in the form of initiating new projects, promoting change and innovation, the management of acquisitions and mergers, as well as responding to occurring environmental pressures. Finkelstein (2004) believes that in a time of serious change, varied environmental pressures, and global alliances the possibility for failure is exceptionally real for institutional plans to achieve their objectives. Moreover, Mintzberg (1994) provides a summary of how institutional plans fail. The author argues that the1960s and 1970s institutional planning models failed eventually because of the misalignment between strategic thinking and institutional planning. Earlier planning models were broadly focused on quantitative analysis and the result from the analysis determines the type of strategy that is taken. The planning models of the 1960s and 1970s undermined strategic way of thinking which that encompasses the synthesis of people's experiences, their intuition, and their creativity, in addition to the analysis at hand. Traditional strategic planning processes are not necessarily useless but would have yielded better results if they were combined with strategic thinking principles and vision development.

Finkelstein (2004) further acknowledges that one more concern associated with the traditional strategic planning is the exclusion of implementers of strategic plans in the planning process. The author further argues that institutional plans that are done at a senior level of the institution, or by special advisors, and then passed to managers in bound published documents are likely to meet resentment as employees might not feel included and not commit to the plans that they were not part of crafting, furthermore, the documents would have not taken into consideration the institutional challenges these employees and implementing managers face in their daily activities. As Finkelstein (2004) further notes, lower-level personnel felt isolated from the planning process and as a result view planning as a process used to deliberately control them. Additionally, Mintzberg (1994) notes (1) the fallacy of detachment; (2) the fallacy of prediction; and (3) the fallacy of formalisation as some fundamental flaws behind the failure of traditional institutional planning.

2.8.1.1 The fallacy of detachment.

Mintzberg (1994) posits the view that institutional planning (traditional) assumed that it was significantly better to be for workers and middle managers to be detached when analysing data, this was said to beneficial in order to prevent biasness in the planning process. Yet, the detachment methodology was later found to simply separate the personnel involved in strategy making from those who are supposed to be implementers of the strategy. This revelation brought forth the idea that the detachment methodology is detrimental to progress of organisations and this raised a worry for lack of accountability. Moreover, the author proposes that institutional planning (traditional) was repeatedly built on inappropriately gathered data, data that was old data that did not have significant appropriate information linked to it. Also, those involved in planning were often found to have relied mostly on quantitative data and ignored qualitative data, thus creating huge blind spots in the final institutional plan.

2.8.1.2 The fallacy of prediction.

Mintzberg (1994) argue that the institutional planning (traditional method) was founded on the hypothesis that variables not pertinent to the future of the business could be measured, results analysed, and strategies constructed and based upon the results that,

if utilised properly, would guarantee success in the future. However, even the greatest strategies encounter unanticipated financial, industry, market, and social changes. The fallacy of prediction certainly led to the fall of traditional institutional planning, as the plans could not bring about predictable success. Therefore, it is important to take into account unforeseen or unpredictable possible situations when institutional plans are being drafted plans.

2.8.1.3 The fallacy of formalisation

Mintzberg (1994) postulated that this misconception is founded on the idea that official arrangements are greater than systems of human being in relation to information processing information and making crucial decisions. Mintzberg believes that nonetheless official systems have the ability to process more volumes of data as compared to humans, formal systems cannot integrate, fuse, or produce innovative guidelines from the analyses and only humans can carry out the analytical procedures. The author is of the opinion that the over-reliance on official systems and disregarding the importance of employees' contributions on institutional planning can be detrimental to any organisation.

2.9 OVERVIEW OF THE CHALLENGES TO INSTITUTIONAL PLANNING AND IMPLEMENTATION

The literature suggests there are various barriers to successful institutional plan implementation and development. Factors such as corruption and fraud; involvement of relevant people in the early stages; lack of strong organisational culture; lack of communication and motivation are discussed in detail below.

2.9.1 Corruption and fraud

Milner-Smyth (2017) acknowledges that corruption and fraud impact negatively sound economic resources management in the public service and other organs of the state such as legislatures. A 2019 Department of Telecommunications and Postal Services study by Dlamini, Mazenda, Masiya, & Nhede (2019) reveals that fraud and corruption have massively affected the functions of the department, and corruption has been noted as the biggest challenge to public sector institutions. Moreover, Fourie and Malan (2020)

acknowledge that corruption has hampered the operations and performances of many governmental sectors. Basheka (2008) adds that corruption negatively affects the proper functioning of any organisation, weakens operationality, and averts the provision of services based on who pays the most. Based on the foregoing, it should be noted that corruption and fraud have disastrous effects on service delivery and all government departments and sectors should strive to be transparent and accountable.

2.9.2 Involvement of Relevant People in the Early Stages of Institutional Planning

According to Pedersen (2008), institutions that do not include their staff in the planning phase ask for execution problems as misinterpretations that can interrupt the clarity of strategy, commitment, and execution happen at all levels of an organisation. In this respect, Mankins and Steele (2005) add that strategy planning attains just above 60% of the targeted income. The gap can partly be attributed to suggestions that as much as 90% of the personnel are not involved in the formation of the organisation's plans or may find them difficult to comprehend (Kaplan & Norton, 2005).

In the Department of Telecommunications and Postal Services in South Africa, where there was a series of challenges with the planning and implementation of strategic plans, Dlamini *et al*., (2019) contend that planning is regarded as a senior management role. This means that planning is done at the executive level in the organisation, with very little involvement from the ordinary staff members who are supposed to implement the plan. Elbanna and Fadol (2016) suggest that this shortcoming can be circumvented by making the formulation and implementation of strategies an all-encompassing activity that includes the whole organisation. Including all the employees means the strategy becomes an organisational endeavour that increases the chances of success.

A robust implementation strategy requires concerted efforts across the organisation (Crittenden & Crittenden, 2008). Bryson and Anderson (2000) add that including everyone at an organisation in the planning and implementing of company strategies enhances and increases the efforts that can be channelled toward solving a problem. Furthermore,

inclusion builds and shortens the amount of time required to execute the plans and policies.

2.9.3 Lack of Strong Organisational Culture

Various studies have shown that a lack of connection between an organisation's culture and its strategy is a barrier to the effective implementation of organisational strategies (Elbanna & Fadol, 2016). Implementation can be hampered by a deep-rooted culture of bias and an emphasis on routine, organisational rules, and regulation among employees as opposed to encouraging innovation and creativity.

Kanyane and Mabelane (2009) add that the absence of an organisational philosophy negatively affects performance. This results in employees faring poorly because they are not guided by organisational philosophies, values, and aims. Stredwick (2000) suggests that public officers can perform their duties better if their activities are guided by a strong organisational ethos, which enhances cooperation, supports diligence, and leads to improvement and success. This is in contrast to rigid, top-down approaches that largely resist change and are not centred on improvements. Improved performances emanate from a comprehensive organisational culture in which officials feel valued and motivated. As such, when employees feel valued and appreciated, they commit themselves to their work, which enhances performance and increases the chances of success.

2.9.4 Lack of Communication and Motivation

Peng and Litteljohn (2001) contend that the effectiveness of strategic implementation is mainly dependent on effective communication. Communication allows for an easy flow of information-sharing, feedback, and constant improvement in the process of work plan implementation. A 2014 study by Mbaka and Mugambi reveals that one of the reasons why personnel may not appreciate the importance of their tasks is the ineffectual flow of information within the organisation regarding its vision and objectives. In addition, failing to disclose important company information or openly share expectations with employees can severely undermine strategy implementation. Organisations in which employees have ease of access to their management through open communication avenues are

more likely to perform better than those operating in a restrictive communication environment, according to Rapert and Wren (1998) cited in Rapert, Velliquette & Garretson (2002).

Kanyane and Mabelane (2009) add that ineffective communication and response channels are major challenges and stumbling blocks for effective government institutional planning and implementation. In this case, there is often a lack of harmony within the organisation regarding strategies' application. Other reports support this view and add that failing to create spaces for dialogue has hampered the effectiveness of implementation.

2.10 GLOBAL, REGIONAL, AND LOCAL EVALUATION STUDIES ON THE IMPLEMENTATION OF INSTITUTIONAL PLANS

2.10.1 Global studies and evaluations on the implementation of institutional plans

From a global perspective, AlQubaisi (2017) applied a qualitative research strategy to evaluate "Strategic Plan Implementation in the public sector organisations of the United Arab Emirates (UAE)". A case study design was utilised that collected data through interviews and observations of the feedback and appraisal process. The study longitudinally collected data sampled from executives, managers, strategic advisors, and senior analysts in the UAE government and organisations through questionnaires and applied path analysis via AMOS software to test the hypothesis "H1: Decentralisation of strategic planning affects the success of strategic plan implementation positively." The study revealed that strategic planning decentralisation, commitment to strategic planning and implementation by the personnel and support by senior management all have positive impacts on strategic planning and implementation. Findings also indicate that success in implementation has a positive impact on an organisation and its performance. The outcomes also specify that the further control variable employed (i.e., organisational size) did not have any impact on the successes in implementation or organisational performance.

Rajasekar (2014) surveyed “Factors affecting strategy implementation in Oman’s service industries”. The research utilised positivism as the research philosophy and the population was registered non-governmental organisations (NGOs), with the sample population being the project managers. The study found that successful strategy implementation is central to any organisations to survival in a competitive environment. It established that fundraising activities and how companies distribute funds for different operations influence the levels of efficiency in the organisation’s processes. The empowerment of the staff was also regarded as significantly influencing organisational efficiency. One of the study’s main recommendations was to develop an NGO grading system that would allow for the classification of these organisations into graded categories based on their levels of effectiveness in attaining their respective goals.

In Hong Kong, between June 2017 and June 2019, Cheung and Yu (2020) conducted a study using a qualitative research approach to review the strategic planning process. The researchers selected this strategy because it allows for better results for analysis. Twenty-eight interviews and an analysis of documents were conducted. The study found that an organisation’s leadership commitment is crucial for the success of strategic management. The rest of the employees are likely to work hard if their leaders set a good example. Secondly, effective communication channels help in getting employees committed and motivated. Thirdly, the creation of a 3-H conducive philosophy is vital to support the effective implementation of strategic plans. Fourthly, a united team spirit amongst the different departments of an organisation is encouraged. Lastly, the association among 3-H domains creates inclusivity that drives processes and stands as an important part of effective strategic management.

2.10.2 Regional Studies and Evaluations on the Implementation of Institutional Plans

Regionally, Akpan and Waribugu (2016) analysed the impact of structure on strategy implementation among telecommunication firms in Nigeria. They found that centralised arrangements in organisations slow down strategy implementation while having specialised structures enhances the implementation of strategies in telecommunication firms.

A study by Buuni, Yusuf, Kiiru, and Karemu (2015) employed a quantitative research strategy to establish “the relationship between strategic plan implementation and organisational performance: the case of Hargeisa Water Agency (HWA) in Somaliland”. Using a descriptive survey method, the study involved 160 employees of the water agency population. The study concluded that the management, the structure of the organisation, its policies, procedures, and the way it allocates its resource has an effect on how the HWA performs. The study recommended that the water agency leadership initiate a policy of staff development to instil company values such as accountability. A monitoring system of its resource allocation procedures was also recommended.

Muendo and Ogutu (2020) applied a qualitative research strategy to explore “the Strategy Implementation and Organisational Performance: A Case Study of Kenya Medical Training College”. The study employed a case study and utilised raw data in collaboration with desk research, and analysis was done with the help of content analysis. The participants were high-ranking management officers. The findings and analysis revealed that strategic implementation has a direct effect on production and that the college’s activities were shaped using local and global examples that helped ensure strategic relevance.

Cyprien (2014) conducted a study using a qualitative research strategy to determine “the Monitoring and Strategy Implementation in Rwanda: A Case Study of the Nyarugenge District Development Plan 2008-2012”. To perform this research, a sample size of 165 employees was selected purposively and randomly, and 131 employees responded to the questionnaire while 20 were subject to a personal interview. Various techniques and data collection methods were utilised, in particular questionnaires and in-depth interviews. The findings revealed that Nyarugenge District used various tools to track the implementation of its activities. Among them was the report, as revealed by 59%; the field visit, reported by 28% of respondents; and meetings (10%). Thirty-nine percent asserted that data are collected monthly through the reporting system, while 26% of the respondents underscored the significance of feedback in the monitoring phase, 58% revealed that feedback is given sometimes, and 35% reported that the supervisors do not give feedback to the employees. The respondents affirmed that there is a lack of

indicators to be monitored and a lack of monitoring framework. During the monitoring process, Nyarugenge District employees encountered challenges such as those related to means, including a lack of transport facilities (24%) and an absence of funds (15%). Other challenges were the lack of human resources specialised in monitoring, as revealed by 15% of respondents. Furthermore, leadership challenges were noted by 37% of respondents.

2.10.3 Local Studies and Evaluations on the Implementation of Institutional Plans

Nkomo (2009) applied a mixed-method research strategy to explore the “Strategic Planning and Implementation Challenges Faced by Public Entities based in Gauteng Province, South Africa”. The research applied a descriptive research method and procedure and selected thirteen bodies. The participants were management officers responsible for the execution of plans. The results presented practices and challenges conveyed by the participants. They also showed the correlation linking government-funded entities and implementation difficulties. Furthermore, the research found a negative link between these difficulties and the degree of an entity's dependence on overcoming them.

Baloyi and Beyers (2020) used a quantitative research approach and the case study research design to evaluate the “Perceptions of Senior Management concerning Strategy Implementation in the Limpopo Provincial Department of South Africa”. Key informants were purposively selected. The sample comprised senior management. The study concluded that the success and the survival of organisations depended on the effective application of plans and that effective organisation performances translate to effective strategy implementation processes. The study recommended that Limpopo’s Provincial Department (LPD) make the most of its limited resources, hard as it might be, to attain its strategic goals. Additionally, suitable systems must be established to drive the department's implementation strategy. Further suggestions were made for senior management to actively engage the personnel in decision-making processes. Senior management was also advised to consider enforcing policy and procedures in implementation and warrant compliance with regulations. Another recommendation was

for the reviewing of policies and company procedures yearly to ensure that strategic objectives remained valid.

Enwereji and Uwizeyimana (2019) examined “Factors that hinder strategy implementation in local municipalities in South Africa as they strive to provide service delivery to their residents”. The situational leadership theory was utilised and highlights that leaders must employ various methods to resolve issues that hamper strategy implementation. A qualitative design was employed, with participants put into a group interview. The findings indicated that municipalities face many challenges in their operations such as resource constraints, leadership wrangles, lack of technological know-how and equipment, and philosophical differences. It was recommended that they should be allocated sufficient funds to enable them to carry out their plans. Issues of incompetent staff were also raised, and it was suggested that these municipalities should let competent personnel lead their strategy implementation processes if they are to meet their service delivery objectives. Municipalities’ infrastructure and equipment should be regularly revamped to help them carry out their mandate. Conflicts can be settled by embracing diversity and understanding diverse beliefs and cooperating so that duties are executed efficiently.

A study by Sebola and Mahlatji (2014) applied a qualitative research method to investigate “Problems associated with the planning and implementation of projects in the Department of Economic Development, Environment and Tourism (LEDET) in Limpopo Province”. Top management officers were selected as participants. This study analysed primary data using the thematic analysis method, a process involving describing, classifying, and attempting to establish connections. Sebola and Mahlatji (2014) found that the absence of a clear link between the planning and implementing of strategies was the main reason for a lack of success. They indicate that although the departmental strategies are well-articulated, they are however rarely converted into concrete, tangible actions that meet the needs of citizens.

Mokgautsi (2017) similarly investigated “Leadership deficits within the Department of Home Affairs and their impact on the implementation of the strategy”. Analysis was conducted by reducing raw data to manageable proportions and identifying themes and

patterns. This study revealed that having effective leadership structures interventions that can respond to challenges effectively. The study concludes that the leadership should communicate and promote the strategy constructively and also highlight the roles employees are expected to take up so that they are motivated to support it fully and work towards its attainment.

Vumbukani-Lepolesa (2015) employed a qualitative research strategy to determine issues influencing successful strategy implementation in the Gauteng Metropolitan municipalities. The subjects were the City of Johannesburg, the City of Tshwane, and Ekurhuleni. This study collected data from 11 top municipal managers focusing on what they thought is the main driver of success for their particular municipalities. The findings showed that the municipalities were not very successful in the implementation of their strategies due to a lack of resources, divergent organisational cultures, red tape, employee incompetence, changes in political leadership due to terms ending, and political interference. It was concluded that there is still a long way to go before the municipalities can successfully implement their strategies. The need for organisational culture reform was recommended as well as the introduction of appropriate cultural change processes in transforming the existing culture to a more favourable one for implementing strategies. Empowering and motivating employees was recommended, together with efficient communication systems in ensuring that municipal employees contribute effectively to strategic implementation.

A limited number of studies exist that focus specifically on institutional plan implementation in the public sector. Most public service studies utilise the qualitative research strategy to address the research problem. These studies are very descriptive in their interpretation of the research results. A limited number of past studies and evaluations applied the quantitative research strategy. Furthermore, the preferred research design for most of these studies was the case study. This research draws insight from the above-reviewed studies and adopts a qualitative approach due to its descriptive nature. It also utilises a case study and purposive sampling methods.

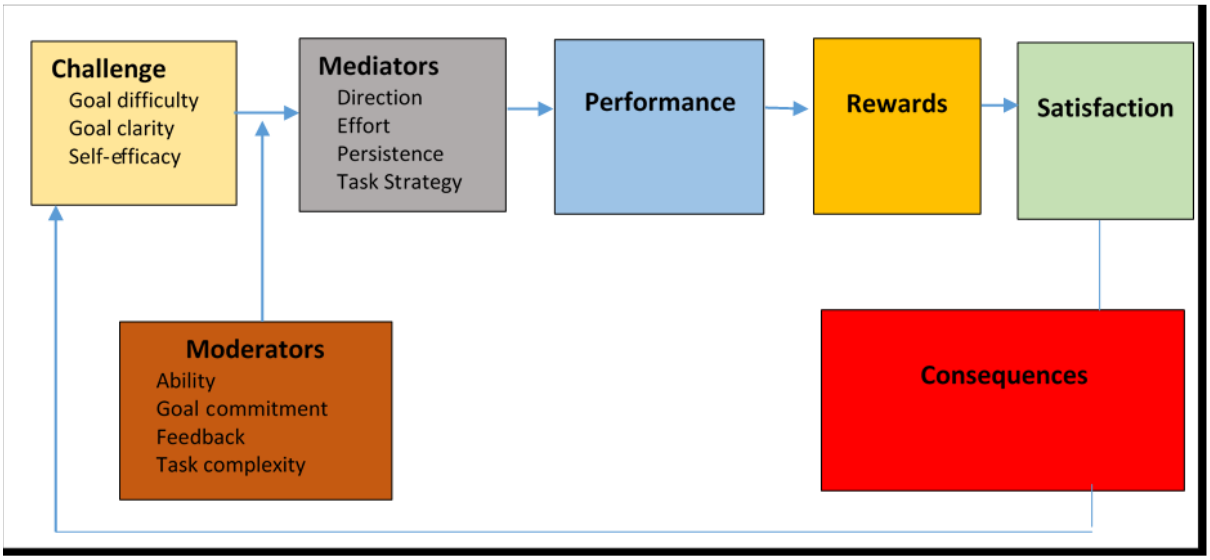
2.11 THEORETICAL FRAMEWORK

Kivunja (2018) argues that a theoretical framework is guided by relevant definitions and prevailing theories and concepts in the specific study area. Grant and Osanloo (2014) add that a theoretical framework is the researcher's belief that particular views support a certain theory of a study while introducing and describing the theory. In explaining why problems exist, this research adopts the Goal Setting Theory in addition to the McKinsey 7S Model. These theories are informed by their complementary approach to identifying performance management systems problems and their ability to offer solutions to the situation in the public and private sectors as discussed below.

2.11.1 The Goal Setting Theory

This research adopted Locke and Latham's Goal-setting theory. It can help diagnose the GPL's problems in implementing its institutional plans and links the setting of goals to the performance of the task. This theory states that officials that set more difficult goals are more likely to perform compared to officials with easier aims. The theory consists of five principles to consider when setting goals: clarity, challenge, commitment, feedback, and task complexity. The values cooperate as shown in Figure 4.

Figure 2.3: Goal Setting Theory



Source: Locke and Latham (1990)

Locke and Latham (1990) suggest that precise and difficult goals and a proper response system facilitate efficient task undertaking. Being enthusiastic and the availability of good working conditions contribute to the achievement of goals and make the key basis of job motivation. The GPL can take these into consideration in order to achieve its set strategic objectives. Additionally, the workforce usually finds motivation within clear, precise goals as well as open feedback channels that leave no room for confusion and defiance. The GPL should thus engage in introspection to assess if its goals are easy or difficult to attain, and how they motivate employees. Easier goals as well as general and vague goals normally do not help achieve the set objectives. Furthermore, clear and distinct goals facilitate greater productivity and better performance.

Dlamini *et al*., (2019) assert that the setting of goals leads to the performing of tasks and the utilising of resources. This also evokes feelings of self-actualisation and fulfilment and provides further challenges that drive employees toward their next goal. The GPL should implement realistic goals that challenge, guide, and direct behaviours within the organisation, and these should be used as the benchmark for organisational performance. Inherent in promoting enthusiasm among the employees, the theory proposes that incentives and feedback are tools that can be utilised to increase performance, as they lead to greater involvement and better work fulfilment. Locke and Latham (1990) advise that setting contradictory goals, and the absence of skills and competencies required to execute goals, are harmful to an organisation's performance, a drawback that is evident in the GPL.

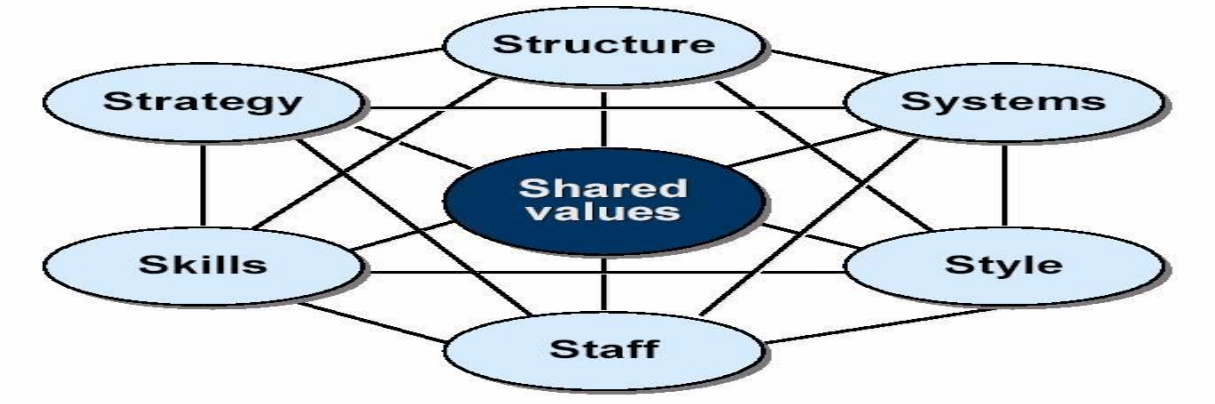
This theory can be beneficial in improving and managing GPL performances. This can be achieved through promoting the utilisation of productivity analysis systems in the service delivery model proposed by the sixth administration. Moreover, the theory supports the directive for public-sector organisations in following the strategic management process, which involves five steps: goal setting, analysis, strategy formation, strategy implementation, and strategy monitoring (Department of Planning, Monitoring, and Evaluation, 2019). In adhering to these practices, public departments must produce periodic performance plans, results, and reviews.

2.11.2 The McKinsey 7S Model

Organisations are required to justify their spending and be transparent in their quest to achieve greater outcomes. To do this, organisations draw up their strategic plans to guide their plans for a specific period to reach specific results. The 7S Model makes organisational structures consistent. Şalvarlı and Kayiskan (2018, p.9) state that “the model was created by Tom Peters and Robert Waterman, employees at McKinsey and the Company, with the help of Julien Philips and Anthony Athos in the early 1980s”. Şalvarlı and Kayiskan (2018) add that the model is one of the most dominant tools around and is popular among academics and specialists. Demir and Kocaoglu (2019) allude that this model consists of four key steps that should be followed in implementing strategic plans. Firstly, the model identifies deficits and ineffectual components connected to the processes, the internal dynamics, the vision, shared beliefs, and the mission. The following step determines changes and transformations that can be utilised and the next step deals with the planning and objectives. The fourth step is the reorganisation of the plan. Defining how likely fluctuations of components can impact one another when reorganisation takes effect is also vital. Therefore, this model will be utilised in this research to assist in the achievement of goals and to help in adapting to the new demands in strategic planning. This will ultimately help the GPL in its planning deficiencies and contribute to its restructuring.

Demir and Kocaoglu (2019) further note that the McKinsey model is made up of seven independent components, as displayed in Figure 5. These are classified as hard and soft elements. Hard elements comprise strategies, business structures, and systems. Soft elements comprise management styles, shared values/corporate culture, human resources, and capabilities. The soft components are largely influenced by organisational culture and the hard ones by the management. Ravanfar (2015), argue that even though soft elements are more difficult to describe and manage, “they have strategic importance in terms of originality, the establishment of organisational structure, and significant contribution to providing a competitive advantage”. Figure 3 illustrates McKinsey’s 7S: Hard and Soft Strategies.

Figure 2.4: McKinsey 7S Model



Source: (McKinsey, 2015)

As the elements of the model are interrelated, the values at the centre of the model are fundamental for the advancement of the other elements, as shown in Figure 2.4. Demir and Kocaoglu (2019) propose that for the GPL to meet its objectives in designing and implementing institutional plans, there should be a synergistic application of all elements as any change affects every other element, which ultimately affects service provision and delivery. Competent and skilled personnel should be in charge of the operations that relate to the creation and management of these elements. Concerning the GPL, the implementation of the institutions has been examined. The implementation of the institutional plans should mirror the processes laid down by the legislature and the capabilities of the implementing team should be assessed to determine if they are suitable for the role and if they can complement the organisation's vision and mission. Advancements in digital technologies mean that companies are increasingly utilising these technologies widely (Reis, Amorim, Melão, & Matos, 2018).

2.12 CHAPTER SUMMARY

The literature guiding the research is discussed here. Global and local contexts were also discussed to set the tone on GPL experiences with institutional plan implementation to achieve its mandate in line with the Constitution. Previous studies on the implementation of institutional plans globally and locally were discussed in order to draw lessons. Moreover, theories informing the research, the presentation, the discussion, and the interpretation of the research findings in the ensuing chapters were also discussed. Methodologies employed in the research will be discussed next.

CHAPTER THREE: RESEARCH METHODOLOGY

3.0 INTRODUCTION

The methodology utilised in this research will be discussed in this chapter. The research adopts a qualitative research methodology to examine how the institutional plans are implemented in the GPL to achieve its objectives. For this research, document analysis and semi-structured interviews were utilised. Moderately structured interviews were selected as they allow the researcher to probe further regarding the way institutional plans are implemented. Document analysis was undertaken to assess what steps in institutional planning were followed so as to have more varied responses to the identified phenomenon. This chapter focuses on the research approach, philosophical assumptions underpinning the research, research design, research tools, and their applications, sampling strategy and criteria, pilot research, and process analysis. The research limitations, feasibility, and research moral concerns are also deliberated.

3.1 RESEARCH METHODOLOGY

Creswell (2014) states that a methodology is a systematic scientific and logical way of resolving a problem. It can also be understood as the science of examining the conduct of research through processes researchers go through in describing, explaining, and predicting phenomena. Furthermore, research methodology is a proposed plan layout for answering the questions raised in the research.

3.2 RESEARCH PARADIGM

Thomas (2014) explains that this type of research explores the social construction of human behaviour in describing happenings, as opposed to the quantitative approach, which deals with objectivity. The research is informed by social constructivism to guide data collection. Bryman (2012, p.14) states that “qualitative research also takes subjectivity into account, compared to the numerical values of quantitative research.” According to the social constructivism paradigm, the categories that people use to aid them in understanding both the natural and social worlds are considered social products of their perceptions, and these categories do not have built-in essences (Neuman, 2014).

Rather, their meanings are produced in and through interaction. To understand how the institutional plans are implemented, the researcher engaged the key informants in the GPL, where the phenomenon of institutional planning existed.

3.3 RESEARCH APPROACH

The research approach refers to how a researcher decides to proceed with the research process (Wagner, Kawulich, and Garner, 2012). The selection of the research approach is dependent on several factors, such as the main research question and the theoretical framework of the research (Creswell & Porth, 2016). Literature provides three types of research strategies applied when conducting social research, namely qualitative, quantitative, and mixed methods (Kumar, 2014). The methodology that was used for this research is the qualitative research approach.

A qualitative approach has been chosen because it is most appropriate to examine and understand institutional plan implementation challenges and success factors of effective implementation and also the remedies available to overcome the problems prevailing in the GPL. Qualitative research aims to understand the processes that help influence behaviours (Creswell, 2009). It also creates a logical story told from the view of those who are parts of the story, in order to appreciate their experiences (Wagner *et al.,* 2012). Patton (1985), cited in Merriam (2002) adds that this approach aims to comprehend distinct circumstances.

Qualitative research enabled this research to collect data, probe for better understanding, and present and interpret the findings through the views of key informants. This approach was chosen due to its ability to produce rich descriptive information since words can reveal what the researcher has discovered about the topic at hand (Merriam, 2002). For this reason, a qualitative approach is the best fit because it provides a deeper realisation of the situation at hand (Merriam, 2002).

3.4 RESEARCH DESIGN

Creswell (2014) defines the research design as a detailed plan of how the researcher is going to perform the research. It encapsulates details of how the researcher will gather and analyse the data gathered (Bryman, 2012). There are various types of research

designs for conducting social research, namely action research, ethnography, experimental, grounded theory, phenomenology, case study, comparative, longitudinal, and cross-sectional (Bryman, 2012; Wagner *et al*., 2012). A case study approach was chosen, with a particular focus on the GPL. A case study is “a rigorous description and analysis of a trend or social unit” (Merriam, 2002, p.8). A case study examines a phenomenon within a natural setup and answers the how and why investigative questions (Yin, 2015) while in-depth comprehension is the primary goal (Neuman, 2014). This research design is suitable in this case since it focuses on acquiring an in-depth understanding of how the GPL implements its institutional plans, the challenges, and successes encountered during implementation, and solutions given to overcome the problems. The research is designed to identify the gaps and then provide literature on how to close the gaps of how the GPL implements its institutional plans, the challenges, and successes encountered during implementation, and its solutions.

This approach was preferred because it has unique strengths over other designs, such as phenomenology, grounded theory, ethnography, and narrative analysis in that it allows for the application of triangulation, thereby reducing subjectivity in gathering factual data relating to how the GPL implements its institutional plans. According to Gray (2021), case studies can also be categorised as intensive studies as they utilise small samples but involve a host of variables.

Despite its advantages, there are several arguments against the use of case studies. One of the major downsides is its dependence on a particular phenomenon, meaning it is not able to be generalised. Campbell and Stanley (1966) cited in Ruddin (2006) however state that this view on generalisation is unjustified and that generalisation is usually brought about through subjective judgement. Firestone and Herriott (1983) adds that conducting a cross-site comparison is not desirable as it can result in differences in structure and practices between the different sites, more so if the locations are in different parts of the world. However, the approach is suitable as an act of extensively studying how the GPL implements its institutional plans and what challenges of effective implementation have been encountered. For this reason, this research also addresses what could be done to overcome these variables for better understanding (Ruddin, 2006).

3.5 DATA COLLECTION PROCEDURE

Different data collection tools are available to the researcher for data collection purposes. Data can be attained from either primary or secondary or both sources of data (Wagner *et al*., 2012). This research sourced data from both primary and secondary data collection sources. Primary data refers to information obtained firsthand by a researcher on the variables of interest for a specific purpose of the research report (Wagner *et al*., 2012). It is about gathering information from those people who witnessed an incident firsthand or those that have a direct stake or shareholding in the case research report being studied. On the other hand, secondary data is all dataset not originally obtained by the author, or "data gathered by someone else" (Boslaugh, 2007 p.5) cited in (Martins, da Cunha, & Serra, 2018). It is about the use of data that has been previously collected and is now to be reused to answer new questions, that the data collected was not intended originally (Vartanian, 2010).

There are mainly five primary data collection tools at the disposal of the researcher, namely questionnaires, interviews, surveys, focus group sessions and observation. Similarly, secondary data collects instruments are namely, books, print media, journals, electronic filing systems and libraries.

This research employs key informant interviews and documentary analysis. In this instance, primary data was gathered from employees of the GPL who are involved in institutional planning and implementation. Documents analysed include books and journals. The reason for employing these two qualitative data collection strategies is that they are the two most commonly used when one wants to do in-depth research about a phenomenon as discussed below.

3.5.1 Key Informant Interviews

Wagner *et al.*, (2012) states that interviews are a two-way exchange and interaction whereby the interviewer probes selected participants for the purposes of collecting data on their ideas, experiences, and opinions as well as their behaviours as stated before, semi-structured interviews were employed in collecting information from the chosen participants. This type of interview is orientated towards making a discovery, is usually open-ended, and examines the respondent's views, opinions, and feelings in depth

(Guion, Diehl & MacDonald, 2011). Thus, they are a valuable source of information (Wagner *et al.,* 2012) because they provide an in-depth, pure individual understanding (Yin, 2015). Another important feature of semi-structured interviews is their ability to allow further probing to understand the context and an opportunity to request further clarity and follow-up elaboration (Ritchie, Lewis & Elam, 2003).

This research is best examined through in-depth interviews as they are usually the preferred collection procedure and best help researchers gain a deeper understanding of the phenomena through respondents' thoughts and opinions. However, this method is not without its demerits as it is susceptible to bias. Since respondents know that they are being interviewed, the 'natural' setting is already distorted, and interviewees are bound to go through the interview giving the interviewer exactly what they want to hear (Merriam, 2002). However, in order to circumvent this unfortunate weakness, cross-validation of the data gathered was carried out together with data collected through documentary analysis.

In the gathering of data through this technique, this research developed an interview guide to be used in conducting the interviews. Discussions were conducted using key informants who were purposively sampled. The interviews took about thirty-five minutes at most. The researcher took notes during the interview and recorded the interview as permitted by the respondents.

3.5.2 Document Analysis

Documentary analysis was employed to collect data. After obtaining consent from the GPL to conduct the research, the researcher requested annual reports, strategy reports, foresight reports, and project reports that were not readily published on the department's website. These documents and documents sourced online were used in conjunction with the findings from interviews and thus helped to maximise the reliability of the data. Document analysis techniques brought upfront sensitive information relating to the implementation of institutional plans that may not be easily available through interviews. Document analysis also brought forth profound information relating to how the GPL implements its institutional plans, this being additional information that was not solicited through interviews (Given & Saumure, 2008).

However, documentary analysis is also prone to weaknesses, such as the inaccuracy of information found in texts and biased or incomplete information as well (Guion *et al*., 2011). To circumvent this, the research cross-validated the data collected from documents with data received from key informants.

3.6 PILOT TESTING

Majid, Othman, Mohamad, Lim, and Yuso (2017) state that even though pilot studies are usually linked to quantitative studies, they are also important in qualitative inquiries as precursory studies to the main study to assess which data collection works and which require modifications relative to the phenomenon under study. Merriam (2015, p.78) adds that “in all forms of the paradigm, most qualitative data are collected using interviews and importantly allow the researcher to understand the phenomenon from the person's account, prior studies are essential to determine beforehand what needs to be changed or redirected.” Piloting for interviews is seen as critical to gain assurance about the relevance of questions asked as well as to practice one’s interviewing skills.

Pilot studies are necessary in ensuring that the interview design and questions are in the right shape and also help in facilitating the necessary adjustments that need to be made (Kvale & Brinkmann, 2007). Harding and Whitehead (2013), p.3 however, have a different view on pilot studies, arguing that the “need for qualitative interviews to be piloted is not relatively obvious because as the interviews progress, the quality of the interview guide improves based on the participants' perceptions.” Nevertheless, this research saw the need to conduct pilot research to assess what needed to be done and plan what to expect in the research. Three key informants with similar characteristics to the research key informants were identified and selected at the Gauteng Office of the Premier to assess the interview guide accordingly and appreciate beforehand what to expect before embarking on the research.

3.7 TARGET POPULATION

The research population selected does not go beyond the Gauteng Province and specifically the GPL. The research targets the appointed officials in the GPL. This includes officials with a direct responsibility to formulate the plans to guide the work and

the ultimate performance of the GPL. Appointed officials such as managers, are responsible for the execution of the plan at the programme level and implementing internal controls and thus have the expert knowledge to respond to the questions. Specialists interact with various plans in their work and thus provide unique insights and personal experiences on the implementation of institutional plans at the GPL. Managers and Specialists brought forth a set of knowledge and experiences relevant to the research. The researcher could not access four participants because of their busy work schedules.

3.8 SAMPLING PROCEDURE

Sampling entails a selection of a sample from a sampling population as a basis for estimating the prevalence of unknown information, outcome, or situation regarding the larger group (Kumar,2014). According to Mujere (2016), a sample is necessary as it is at times not practical and not economical to carry out a survey of an entire population because of the size of a population, the time factor, and the inaccessibility of some of the respondents.

Sampling is crucial as it saves time, human resources, and money (Kumar, 2014). Also, important to note is that the disadvantage of sampling is that it can compromise the accuracy of the findings because of the estimate made by respondents (Kumar, 2014). Academic literature describes the probability and non-probability sampling strategies as the two options available for sampling (Wagner *et al.,* 2012).

Given that this is qualitative research, the sampling criterion utlilised was non-probability. This research utilised the purposive sampling technique, which is based on the researcher soliciting participants to provide information to respond to the research objective (Kumar, 2014). This sampling method is usually employed in selecting respondents for semi-structured interviews. The sampling frame for this research includes nine respondents who are employees in the GPL, such as managers and specialists responsible for implementing institutional plans. They were able to provide unique insights, experiences, and expertise relating to the implementation of institutional plans.

Interviews were conducted with participants that included two specialists, three middle managers, and four senior managers. The interviews took thirty-five minutes at most.

3.9 ETHICAL CONSIDERATIONS

According to Yip, Han, and Sng (2016, p.3), “ethics define what is or is not legitimate to do or what ‘moral’ research procedures involve.” Creswell (2016) proposes that ethical consideration should take place throughout the different phases of the research process: before conducting the research; at the beginning of the research; during the data collection process; data analysis; data storage and reporting; and when publishing the research. In addition, Kawulich and Ogletree, (2012) argue that when conducting the research, the researcher should consider ethical issues such as gatekeeping, deception, prevention of harm, power and social justice, reciprocity, informed consent, confidentiality, and anonymity.

Ethics principles guiding research were taken into account at all phases: pre-research; during the collection of the data; when the data collected was being analysed; data storage and reporting as proposed by Creswell (2016).

Before proceeding with this research, consent was pursued from relevant authorities at the GPL. The GPL, Office of the Secretary responded by issuing a letter of permission to conduct the interviews and source documents. Once permission was granted, the letter and other supporting documents were compiled and submitted to the Wits School of Governance (WSG) as part of the ethics clearance application to collect data. Ethics clearance was approved in September 2021, but the approval letter was handed to the researcher on 05 November 2021.

The researcher obtained permission from the employees before proceeding with the interviews. The participants were assured that permission had been obtained from both the WSG and the GPL. Participants were requested to read the information sheet (Appendix 2), which was then explained to them. The information sheet detailed the researcher's profile and research purpose together with the duration of the research. Also, the researcher allowed key informants to pose questions to ensure respondents had

clarity on the research purpose. Lastly, key informants were invited to append their signatures to forms consenting to voluntary participation in this research.

This research ensured that the identity of the respondents is protected to respect the values of confidentiality and anonymity (Wagner *et al.,* 2012). In the analysing of data and reporting process, respondents are not identified by name or title. Similarly, data is presented in a way that does not link the responses to the key informants, as some respondents did divulge sensitive information on how the GPL implements its institutional plans.

As the researcher has been in the past part of the organisation under study, the researcher applied extra caution to maintain neutrality and minimise subjectivity in the collecting of data and the interpretation. The researcher conducted the research from an outsider's point of view and the researcher's perceptions and preconceived assumptions on the phenomenon under study are not reflected in the findings. Furthermore, respondents were assured that the researcher was conducting the research as a researcher and not as an employee of the organisation under study.

3.10 DATA ANALYSIS

This research uses thematic analysis to analyse data. This form of data analysis technique allows themes to be illuminated from the data (Wagner *et al*., 2012). Thematic analysis was preferred due to its ability to produce trustworthy and insightful findings (Braun & Clarke, 2006). Themes were identified manually. The data collected through interviews were transcribed to provide a paper copy with which to work (Wagner *et al.,* 2012). Before the analysis process, there was a need to first become familiar with the collected data by going through the transcribed data several times. This process involved reading through the transcripts and finding words, phrases, or sentences that match a particular theme and capturing them in a spreadsheet (Kawulich & Holland, 2012). This research captured responses from each participant under a particular theme.

The next step was to consolidate the themes and the responses into a report (Chapter four). This research presented the themes and the responses under the main research questions, which were turned into statements. It formed a discussion under each

theme and presented in verbatim the responses to avoid any loss of meaning (Kumar, 2014). This research then presented a discussion of the responses based on the similarities, differences, and a reconciled view (Bryman, 2016).

This was followed by grouping transcribed data into similar subjects (Lacey & Luff, 2001). These subjects were also broken up into similar categories. However, similar subjects were bunched together to create groups of similar themes, and these were joined together based on their similar features. This enabled useful insights, meanings, and patterns to emerge (Wagner *et al.,* 2012). Moreover, to analyse data coherently, the researcher adopted a linear hierarchical approach, building from the bottom to the top as suggested by Creswell (2014).

The following six steps were followed during data analysis and interpretation of responses from interviews:

(a) Transcribing of raw data
(b) The organisation of the data
(c) Going through the data
(d) Coding
(e) Interrelating themes
(f) Data synthesis.

Step 1: Transcribing of Raw Data

After the data had reached saturation during collection (Latif, Boardman, & Pollock, 2013), the researcher arranged and produced all the information for analysis. The researcher then transcribed information from the audio-visual material gathered from the interviews conducted and catalogued all the information expressed by the key informants. In addition, the researcher arranged all the data according to the issues expressed by the key informants. During this phase, the researcher found no difficulty in transcribing the data and understanding the meaning of the informants' narratives as the researcher is fluent in English, which was the language used for the interviews as the key informants were also fluent English speakers.

Step 2: Organising and Preparing Data

Sutton and Austin (2015) suggest that while reading through all the data, the researcher can start to draw meaningful pieces of information that can be pursued in subsequent interviews. In this way, the researcher was encouraged to probe for more information until saturation was reached. After data saturation, the data was transcribed, followed by reading and rereading. After this, the data was prepared according to the reflection it conveyed, bearing in mind the ideas and credibility of the data as expressed by the key informants. The transcribed data was then coded as outlined in the following paragraph.

Step 3: Reading through the Data

Coding is described by Sutton and Austin (2015, p.16) as "the process whereby the researcher identifies topics, issues, similarities, and differences that are revealed through the key informants' narratives as interpreted by the researcher." These authors further state that the "coding process enables the researcher to begin to understand the whole world from each key informant perspective, and this can be done by hand on a hard copy of the transcript by making notes in the margin or highlighting and naming sections of the text." In this research, transcribed interviews and notes were read and reread and assessed for accuracy against the recordings (Rallis & Rossman, 2012). The researcher then grouped the data into themes and labelled the sets with a letter to enhance anonymity.

Step 4: Coding

Sutton and Austin (2015, p.6) argue that "themes are referred to as the drawing of codes from one or more transcripts from the interviews done in a natural setting to present the findings of the qualitative study coherently and to convey the meaning of the key informants' narratives." The researcher in this research used the coding process to generate thick descriptions of the data conveyed during the semi-structured interviews. All the data presented by the participants were described and themes were generated from the key informants' narratives, and feelings conveyed through the narratives. The identified themes deduced from the analysis were used as headings in Chapter four (Research Findings).

Step 5: Interrelating Themes

The identified themes were advanced to portray a representative meaning of the key informants' narratives given in confidence during the semi-structured interviews. These themes were organised in a way to convey the chronology of events during an analysis of the findings. The researcher integrated interrelated themes to form a uniform expression responded to by the key informants. The process of data synthesis is discussed in the following paragraph.

Step 6: Data Synthesis

Creswell (2014) asserts that the final step in data analysis in the qualitative paradigm is data synthesis. Sutton and Austin (2015) further argue that in this phase the key informants' narratives can be distilled, summarised, and presented in a manner that truly reflects the meaningful responses of the GPL employees. In this research, the researcher reported all that the GPL employees expressed regarding the implementation of the institutional plans.

3.11 VALIDITY AND RELIABILITY

Creswell and Miller (2000) suggest that validity and reliability refer to measures employed in research that ensure that the data received is valid and credible. Guest, MacQueen, & Namey, (2012) posit that the issues of validity and reliability go hand in hand, for example, it is not possible to have high validity while having low reliability in research. This research did comply with issues of validity and reliability. These two concepts imply different issues but are complementary and they comprise factors such as credibility, transferability, and trustworthiness (Golafshani, 2003).

Reliability is achieved when the research is verifiable through analysis of data in its raw form and notes gathered during the process (Bashir, Afzal, & Azeem, 2008). This research encompasses all the processes from the gathering of information to its presentation, how it was analysed, the discussion, and the interpretation. The description of the steps is deliberated, and an interview schedule details the number

and duration of each interview. The research also explains that the interviews were held on Microsoft Teams and recorded on the platform, and the device used for interviews and recording is password protected.

This research states the time taken to transcribe the recordings and clearly explains that they were transferred into transcripts using Microsoft Word. With regard to the data analysis process, themes were developed from the main research questions and recorded in a matrix table. Nine transcripts were studied to find words, phrases, and sentences that match those themes. Themes were developed from data using words that appear many times in the transcripts. Results are presented and discussed in the fourth and fifth chapters respectively.

Kawulich and Holland (2012, p.4) assert that "conformability denotes the researcher having the ability to be unbiased while ensuring that the results presented from the data are not manipulated by the researcher's feelings." The researcher is employed in the GPL and was objective when presenting the research findings. Researcher bias is a non-issue in this research, with the findings solely extracted from informants. The views presented are the viewpoints based on the personal encounters of the contributors.

This research also enhanced the integrity of the research findings by using different data collection techniques. One way to do this is by using different techniques of data collection to provide supporting evidence (Tuckett, 2005). This research used two data sources, namely, documents, and interviews, to ensure the validity and accuracy of findings.

Furthermore, credibility was assured by taking back the gathered data, their interpretations, analyses, and conclusions to the respondents interviewed about the how the GPL implements its institutional plans and, challenges encountered, the success factors and measures are taken to address identified issues to measuring the degree of accuracy and credibility of the report. On this, Stake (2010) posits that this type of strategy of giving the respondents to validate findings as the true reflection of what was discussed in the interview ensures that findings are credible.

3.12 RESEARCH LIMITATIONS

Several factors stifled the smooth research process. Firstly, the research was done during a period in which the GPL continued to conduct some work-related activities remotely due to operational adjustments imposed by the Coronavirus 2019 (Covid-19) lockdown regulations. As a result, all interviews took place virtually, and as such the researcher at times did not pick up on the physical or emotional expressions of the participants. Moreover, the honesty of the research participants could not be guaranteed. In their eyes, the researcher could still be regarded as their colleague.

Secondly, research clearance was received in the first week of November 2021, a week after the 2021 Local General Elections after MPLs had been on recess for close to two months, meaning their return was to be coupled with a lot of work/legislative business-related work. Thus, the researcher could not reach other key respondents who were busy with the priorities of the institution and could not honour their appointments, which necessitated rescheduling appointments or approaching other employees to take their place.

Thirdly, generalisability was compromised since data was collected on a small scale using a small sample of nine participants (Houser, 2019). Although limitations were encountered along the way, this research was conducted professionally, adhering to all ethical protocols applicable.

3.13 CHAPTER SUMMARY

The methodology utilised by the research was presented. This includes the methods utilised for gathering and analysing information offered in answering the questions. The sampling approach employed is discussed, as well as the important aspects of credibility and reliability. These issues are important in ensuring the trustworthiness and dependability of the research findings. Research findings are presented in the next chapter.

CHAPTER FOUR: PRESENTATION OF RESEARCH FINDINGS

4.0 INTRODUCTION

The research sought to investigate the implementation of institutional plans at the GPL, its current practices, and the main gaps or deficiencies experienced with institutional plan implementation in the GPL. By listening to and analysing the experiences of the GPL key informants, valuable information was obtained about how institutional plans are implemented in the GPL and how effective they are in achieving the proposed targets. Key informant experiences and analysis from documents further enriched the vein of the analysis of the research. The interview guide that was structured using the research questions presented in the first chapter is also attached.

4.1 DESCRIPTION OF KEY INFORMANTS

This section focuses on the demographic attributes of the respondents. Pseudonyms are used to conceal the true identity of the respondents during the data collection and presentation process.

Moderately structured interviews were conducted with nine key informants, most of whom were male. Each key informant falls within the category of managers or specialists involved in the institutional planning and implementation processes. Furthermore, each key informant has at least six years of direct experience and involvement in institutional plan implementation in the GPL. As shown in Table 1 below, most key informants hold postgraduate qualifications. Below is a description table of the research key informants (see Table 4.1).

Table 4. 1: Description of the key informants

Key informants' number	Job Level	Years of employment	Level of education	Gender
1	Senior Management	18	Postgraduate	Male
2	Specialist	6	Undergraduate	Male

3	Senior Management	7	Postgraduate	Female
4	Senior Management	8	Postgraduate	Female
5	Middle Management	11	Postgraduate	Male
6	Middle Management	6	Postgraduate	Female
7	Specialist	8	Postgraduate	Male
8	Senior Management	13	Postgraduate	Male
9	Middle Management	10	Postgraduate	Male

4.2 INTERVIEW QUESTIONS

Three primary interview questions guided this research, and these are as follows:

4.3.1 What is the nature of the implementation of the institutional plans in the GPL?

4.3.2 What are the challenges encountered in the successful implementation of institutional plans in the GPL?

4.3.3 What are the measures that can be adopted to support the successful implementation of Institutional Plans at the GPL?

4.3 RESEARCH FINDINGS

For data to be presented, the right approach must be utilised in analysing the gathered information. This facilitates the presentation of information accurately and objectively and answers the research questions as best as possible. Thematic analysis was preferred to analyse data as its best assists in making sense of the available information in giving an accurate account of participants' views on institutional plan implementation at the GPL (Castleberry & Nolen, 2018).

Themes were derived directly from the responses given by respondents in interviews. The identification of themes is an important step in the research as it ties the information gathered together and should also reflect the views of those who participated in the research. Resultantly, this minimises the distortion of data and adds credibility to the research.

Three different themes arose during data collection and will be presented below:

1. The nature of institutional plan implementation and key informants' understanding of institutional plan implementation in the GPL.
2. Challenges encountered in the institutional plan implementation.
3. Strategies to counter the challenges in institutional plan implementation.

4.3.1 The nature of institutional plan implementation and key informants' understanding of institutional plan implementation in the GPL.

The key informants highlighted the importance of planning strategies in the GPL with an understanding that it helps in ensuring that the organisation has a roadmap on how to achieve its desired objectives. This is ascertained by the following narrative from the key informants:

"Let's take it from the conception of plans. We have frameworks that guides how our plans in the organisation are developed, and ultimately, those plans must be satisfied or adopted by the board, and once those have been adopted by the board, it's my understanding that different units must then begin to implement."

Although there were varied responses to the question on the understanding of how institutional plans are implemented in the GPL, some responses showed relevance to the responses stated above. In concert with the above response, key informant number 6 had this to say:

"I mean months, which accumulate to quarters and ultimately a year, and we have to take responsibility for the execution of whatever that has been reflected in the annual plan and

or the operations plan, and you do need access to budget in order to implement the different activities and targets that you have set out in the plan, and you must then report on the implementation of your portion of the of the plan, either the annual performance plan or the operations plan, and that work must then be assessed for completeness by Strategy, Planning, Monitoring and Evaluation Unit (SPME) and where necessary then they will inquire for clarity or to seek additional information in support of whatever statements you may have made either you may have said that you've performed or you've executed or you have not, so you need also to submit some kind of evidential material that would support that statement. So that's my thoughts around the sort of value chain that is involved in the implementation of plans in the organisation."

In support of the above, respondent number 7 went further to indicate that:

"Institutional plan implementation at the GPL entails the execution of its strategic plans in terms of Sections 13, 14 and 15 of the FMPPLA No. 34 of 2009, which states that the legislature should prepare and table to the House a plan to be implemented over a period covering at least five years and applicable APP. This is guided by the GPL-approved Integrated Framework for Planning, Budgeting, Monitoring, Evaluation and Reporting (PBMER), that formalise processes and procedures on how performance and budgeting information is being managed by the Gauteng Provincial Legislature."

Respondent number 2 responded by saying that institutional plan implementation:

"Starts with formulation of strategy in the main. Because we are a parliament, it moves from formulation to implementation in support of members."

Similarly, respondent number 6 stated the following about institutional plan implementation:
"I think, institutional planning, as I usually refer to it as the process of, you know of formulating, plans that speak to the leadership ones and the implementation evolves

around the cascading down principle where it starts from the top going down, and then you know the implementation will start from down to up."

Two participants highlighted that the institutional plan implementation is an activity as a point of departure.
Respondent 1 stated that institutional plan implementation "is the implementation of an organisational strategic plan which is normally drafted every five years but reviewed every year. The strategic plan informs the Annual Performance Plan, which then informs the Operational Performance Plan."
Lastly, respondent 5 stated that institutional plan implementation:

"Are the activities by us that we undergo on a daily basis to deliver on the promises of the five-year plan".

In answering question 1, it emerged that the interviewees knew of the institutional planning and the prescripts guiding implementation in the GPL. It was further revealed that institutional plan development and implementation is prescribed by legislation although it does not consider the operating environment. It prioritises interests of politicians and is not customer-centric or citizens centred. The participants also confirmed that institutional plan implementation is applied yearly to achieve a five-year plan for the GPL.

4.3.2 Challenges encountered in institutional plan implementation.

Narratives from the key informants highlighted some obstacles to the success of implementation of the institutional plans in the GPL. The reasons behind ineffective institutional planning in the organisation was the main interest, and varying responses from the key informants suggested various challenges.

The main challenge pointed out by the interviewees was that the output of the strategic planning process is poor. Respondents suggested that this means that institutional plans are not developed properly and thus affect implementation. This observation is consistent

with a view by Pressman and Wildavsky (1984) who argue that implementation could be rendered successful if it is consistent with the planning process. They further opine that good planning warrants effective implementation. Evidence of poor strategic planning was reflected in the response by respondent number 1, who indicated that the GPL sets unrealistic goals and targets. When probed on this, the same respondent further alluded that “indicator setting in the GPL is sometimes not specific, measurable, attainable, realistic, and time-framed (SMART)".

Secondly, respondent 5 in agreeing with respondent 1, stated that:

"I think we have enough time for planning. What we don’t, I think the issue is what do we do with the time that is available? Or even the thinking process that we apply to our planning. It is correct that we in many instances take the previous year's plan, just correct here and there to make it current, but if the plans that we put in place are not in sync with what the client, or in our case what the public may be seeking at that particular point? Because we do not take as much time before their formal planning process can commence to understand the people for whom we are providing a service to understand the environment. Within which we are operating the changes that occur in that environment so that and understand the problems. That we need to resolve with our planning so that when the formal planning process commences in May, we have done the needed groundwork to be able to infuse in the subsequent years, plans new information that is in sync with our reading of the situation. Based on our recent assessments, so we just take the old document dusted off and amended to look new and on we go."

Thirdly, respondent 3 stated that:

"The implementation process itself I think it is, if it was not in place, there will be chaos, but now that we know it is in place. I think it is not the only or even a significant contributor to whether or not there is ultimately going to be performance. I think the quality of the plans have got much more weight. It is the target in the plans which determines the effort

that is required in order to implement them, so [a] good quality plan may take you closer to good performance and [b] poor quality plan may take you closer to what performance because you may implement it, so you implement it, but you don't get to the end that you desire because of the quality of the plan."

Fourthly, respondent 4, just like respondent 1, also indicated that:

"Institutional plans are developed but without the involvement of ordinary staff who and tend to be ambiguous and not understandable by the ground runners who find it a bit of a challenge of understanding what is the institutional, how to implement the institutional, you know, plans".

On the contrary, respondent number 7 argues: " I would say that what makes the institutional plan to be successfully implemented, planning sessions is that they are supported by all cross-cutting support services of the GPL."

Respondent 9 argued that: "there is still a lack of understanding of the institutional plans and how to stick to the targets. What it means by not responding to the set targets."

The findings also show that the GPL conducts a rigorous planning process, however the quality of planning output is questionable. On this, respondent 5 stated that:

"a challenge in the GPL is the quality of our planning. Not the process, but the output of the planning."

Another sub-theme the researcher identified is the approach to performance management at the GPL. Most of the participants reported that there is a performance management structure in place, but it is not effective. Firstly, respondent number 1 revealed that:

"Indicator owners are sometimes unable to track progress (month-to- month and year-on-year) of the performance of their activities that contribute towards the quarterly performance targets set out in the APP and as a result they just don't not able to you know remodify on time."

Secondly, respondent 6 also stated that "it is our approach to performance management, the culture seen within the GPL is helpful towards the execution of the plans; but you know, the GPL does not have a culture that encourages improvement in the delivery of services."

Thirdly, respondent number 8 stated that:

"One of the challenges to institutional plan implementation by the GPL is in relation to the performance reporting, which is a compliance obligation and may not be ignored without far-reaching consequences for the GPL. Thus, the GPL relies on the role of the Strategy, Planning, Monitoring and Evaluation Unit to facilitate and coordinate GPL's efforts to comply and integrate lessons from the past performance cycles into future endeavours. The other challenge is associated with the adherence to the performance monitoring reporting requirements and timelines, which is critical in ensuring that the clean audit achieved since the beginning of the current administration is upheld and sustained."

Fourthly, respondent 3 stated that:

"My view is that we have a culture that does not enforce the kind of a performance that is required."

Some of the respondents expressed the impact that leadership has on institutional implementation at the GPL. According to Gauteng Provincial Legislature (2020), the GPL is making strides to improve the leadership and performance culture of the institution. In 2020, the GPL launched the transformation initiatives undertaken to nurture leadership and a high-performance culture. The purpose of this initiative is to strengthen leadership development, promote the GPL strategy, and raise awareness on the GPL goal, vision, mission and values, with the aim to improve leadership accountability and contribute towards building a high-performance culture. To date, the initiative has been partially implemented because the review of the leadership policy and approval of the training plan took longer than anticipated.

Evidence as per respondent 5 indicates that "senior management posts are five-year performance-based contracts and the leadership change at the senior executive level

causes some sense of uncertainty, instability and a great loss of institutional memory at the GPL".

Respondent 2 also stated that:
"Out of the contributors to a negative performance culture, it is our approach to performance management. It is the type of a leadership we have that enables the type of performance management approaches we have which are not helping."

Respondent number 8 just like respondent number 5, stated that an effect associated "with the introduction of new senior managers every five years is the sole reason why there is a separation between planning and implementation, as policies are ever changing with little or no information whether the existing ones have worked".

Respondent 6 added that many challenges arise during institutional plan implementation: "You will find that we end up, I can say not ticking all the boxes, but I think more involvement of all this political leadership, will see to it that the dependency issue because we depend on them".

4.3.3 Strategies to counter the challenges in institutional plan implementation.

Evidence from the key informants' narratives pointed out that although challenges are encountered when implementing institutional plans in the GPL, some ameliorative strategies have been identified to counter these challenges. Different views arose from their narratives with regards to the relaying of information in the implementation of institutional plans in the GPL. Some key informants alluded that the misunderstanding between the management and junior staff regarding the interpretation of its plans can be solved through continuous engagement as disengagement usually brings about confusion and disharmony, thus rendering implementation ineffective. On this, respondent number 1 pointed out that:

"If most people have access to our institutional plans on the planning phase, then it is treated similarly to a classified document that can be regarded by certain people in the

institution, which could ease the problem. This document should be communicated to all stakeholders such as the project managers and the implementing staff at the lower band of the organisation to promote inclusivity."

Key informant 3 validated the importance of communication in institutional planning by noting that:

"Often, lack of collaboration in institutional planning always breeds inconsistency in the implementation of institutional plans. This has been impacting service delivery outcomes of the GPL. The recognition of everyone's importance in the successful implementing of institutional plans is imperative for the GPL as it is the parliamentary structure of the Gauteng Province. Constant awareness of these strategies needs to be implemented."

Similarly, respondent 5 argued that:

"My view is that in many cases, we tend to forget about the people that are the implementers, this event you look at it's not directors it you know your specialist, the ground runners who find it a bit of a challenge of understanding what is the institutional plan, how to implement the institutional, you know plans, because sometimes you might find that there's lack of understanding."

4.4 CHAPTER SUMMARY

Information presented above revealed varying yet complementary experiences and perspectives in relation to how institutional plans are implemented and the barriers to their effective implementation in the GPL. The results further show that the respondents' understanding of institutional planning implementation largely depended on the role one occupied in the organisation, which ultimately determined their level of participation in the organisation. Some respondents attributed the failure of institutional plans in the GPL to the lack of active participation of those in the lower structures of the institution yet had an active role to play in the implementation process. The upcoming chapter analyses and discusses the findings from this chapter with a view to providing meaning

from the various responses given by the respondents. Particular attention will be paid to the process of institutional planning, how the plans are implemented as the mainstream strategy implementation theorists. Thematic analysis will enable this process to be done effectively in the next chapter.

CHAPTER FIVE: DISCUSSION AND ANALYSIS OF THE RESEARCH FINDINGS

5.0 INTRODUCTION

Data findings from chapter four are analysed further here. This is done through established theoretical frameworks utilised; the McKinsey 7S Framework and the goal-setting theory. The findings are structured according to the questions asked and guided by respondents' insights on the GPL's implementation of institutional plans. Firstly, this chapter interprets the results of the key informants' understanding of how the GPL implements its institutional plans. Secondly, it interprets the results of the challenges to implementing institutional plans being encountered. Thirdly, it interprets the results of the methods that can be used to guarantee the successful execution of the institutional plans in the GPL.

5.1 THEORETICAL FRAMEWORK

As indicated earlier, the McKinsey 7S Framework is premised on improving the organisation's performance or determining the best approach to implementing the chosen strategy. The framework comprises seven components classified as hard or soft (Alshaher, 2013). According to Ochiel, Ombui, and Omwenga (2016), the hard components encapsulate strategy, structure, and systems, hard components tend to be much easier to identify and are in the control of managers. Soft components consist of the staff, style, skills, and shared values. Soft components tend to be more difficult to explain and are determined by the values, norms, and beliefs held by employees in an organisation (Alshaher, 2013).

The McKinsey 7S framework drives this research report by directing the discussion of the elements affecting institutional plans application in the GPL (Mu khamad, Rahmat, Semerdanta, & Darmansyah, 2020). The McKinsey 7S framework is the kind of framework that clarifies the difference prevalent between formulation and implementation of the plans, while submitting that "execution transferred to a subordinate position level is the responsibility of middle management, middle managers are then accountable for the result of that execution" (Ochiel *et al.,* 2016 p.16).

The researcher was given additional confidence in the McKinsey 7S Framework because key informants cited elements of 7S when asked about either understanding of institutional plan implementation or the challenges associated with the phenomenon of performance management.

5.2 ANALYSIS AND INTERPRETATION OF THE RESEARCH FINDINGS

5.2.1 Understanding Institutional Plan Implementation

This research sought to understand how institutional plans were being implemented in the GPL and the implementer's understanding of how institutional plans are implemented. As shown in existing literature cited in this research, institutional plan implementation generally involves “the interpretation, adoption, communication, and enactment of strategic plans” (Noble, 1999, p.1). From the interviews conducted and the analysis of data, key informants have an understanding of what institutional plan implementation in the GPL entails. The key informants' understanding of institutional plan implementation is also directly aligned with the concept of “implementation the implementation of the Annual Performance Plan, and the annual budget” (Gauteng Provincial Legislature 2019, p.10).

When employees have a good grasp of the implementation cycle, this benefits the organisation. If those who play a critical role in implementation understand institutional plan implementation, they become aware of its importance and also why it needs to be carried out effectively. Furthermore, when employees comprehend institutional plan implementation, they will likely be able to implement the institutional plans successfully and also be able to engage other stakeholders so that the objectives of the GPL are met. Therefore, this researcher is driven to think that the current poor performance of the GPL is down to other factors and not due to a lack of knowledge on the side of the employees regarding what institutional plan implementation is and its importance.

- **Strategy**

Placed under the “hard elements” components of the 7S model, Jharotia (2019) states that strategies are plans devised by organisations in order to become competitive and maintain their competitiveness in their fields. He further posits that the ultimate approach would be to devise a long-term strategy that supports the other elements of the

organisational model and resonates with the company's goals and overall objectives. Resultantly, this research found that the GPL has a five-year strategy that is implemented through annual institutional plans.

It was further found that institutional plan development and implementation is incited by prescribed legislation, i.e FMPPLA. Moreover, the development of an institutional plan does include conducting a situational analysis. However, the results of the situational analysis, though useful in measuring the successes of a business and in helping determine a suitable strategy, are not considered in the development of final institutional plans. This is notwithstanding that the analysis acts as a powerful tool in determining an organisation's strengths as well as its weaknesses or any other risks that can affect its position.

McKeown (2013) points out that due to its complex nature, a strategy should be long-term and should align with the organisation's vision. However, nearly all key informants from the GPL pointed out that their strategic blueprints only have five-year terms due to the political and executive leadership within the GPL, which changes every five years. This puts pressure on the GPL to create public value in this limited time frame, which may also explain the reason behind its below-par performance. Closely connected to this point is the nature of the processes being utilised by the GPL to establish and implement its institutional plans. Consequently, two key findings emanated from the research and will be discussed in detail below.

- FMPPLA 2009

Section 14 of the FMPPLA 2009 states that "all legislatures and parliament should submit their strategic plans (also referred to as institutional plans) to the speaker to the legislature, detailing the priorities, objectives, and outcomes for each programme of legislature and Parliament; include multi-year predictions of all the revenue and expenses; and comprises of performance measures and indicators for measuring the administration's performance in implementing the strategic plan."

In addition, the official responsible for accounting is required to produce the yearly performance proposal for the Parliament and the Speaker who is the Executive Authority before the commencement of the fiscal year (The Presidency, 2014). The key interview informants also acknowledge the FMPPLA of 2009 and admitted that their strategies are informed by it, and they also adhere to it.

- **Planning**

Mintzberg and Waters (1985) warn against treating strategy preparation and application as independent practices. This point of view has since been reinforced by several other writers, who maintain that the main reason why strategy implementation fails is that it is often divorced from the formulation aspects (Elbanna & Fadol, 2016). All key GPL informants interviewed in this research confirmed that institutional plan implementation starts with the formulation of plans. Whilst it is agreed that the institutional plan implementation begins with a planning process, all key informants raised concerns that it is a compliance-driven exercise. These further revelations also help in shedding light on institutional planning limitations in the GPL.

The use of the McKinsey 7S Framework to solve management and administrative problems is supported by (Alshaher, 2013). Alshaher (2013) states that the McKinsey 7S Framework is premised on improving the performance of organisations and helping them achieve their set goals and objectives. It is also relevant for addressing public sector organisations to diagnose the challenges and provide remedies to these problems. To do this, the GPL according to this theory, should determine the most feasible way to apply the chosen policy. Incorporating the McKinsey 7S Framework has seven components in this regard and could help the organisation in the planning phase of the institutional plans and the implementation phase by employing what Ochiel *et al*., (2016) proposed, which includes the encapsulation of the hard components of the strategy as well as the structure and systems, which calls for managers' responsive engagement in the planning phase.

Also, Alshaher (2013) acknowledges that strategic planning and implementation recognises the soft components which the author alludes to as inclusive of external and internal environmental factors, which calls for the recognition of staff, style, skills, and

beliefs of the personnel, the needs of the society which the GPL serves, and the promises made during elections.

The first research problem required an understanding of the procedures undertaken by the GPL in implementing its institutional plans. This was important for gauging whether the GPL has well-defined processes in place to implement its institutional plan and whether the key informants understand the institutional plan implementation process and its importance. The key informants conceived that their institutional plans are developed in line with prescribed legislation (The Presidency, 2014), although it does not take cognisance of their operating environment and it is a compliance-driven exercise. Institutional plan formulation is not effective. Furthermore, it appears that as the planning is merely a compliance-driven exercise, it serves as a potential barrier to success, potentially resulting in a misconfiguration of 7S elements.

5.2.2 Organisational Challenges of Implementing Institutional Plans

This question sought to discover the obstacles as well as the enablers encountered by provincial legislators during the implementation phase. Since this research sought to find ways to enhance efficiency in implementing policies, it is necessary to ascertain the opportunities and obstacles associated with the process. The remaining elements of the 7S framework are deliberated on below.

- **Planning**

Strategic planning documents are usually viewed as similar to “tick-box" organisational undertakings, leading to “malicious compliance”. Materials prepared and eventually presented were typical of this propensity. This research however reveals that the law mandates legislators to perform an important responsibility in promoting and superintending public offices so that they become more efficient. National Treasury (2005, p.28) reveals that “the major challenge for provincial legislators is centred around improving the capability of portfolio committees to be able to hold departments and entities of government accountable for the services provided to the public and performance as outlined in the various institutional plans strategic plans”. Furthermore,

the GPL's activities are enshrined in its official papers and the endorsement of these reports without proper care would expose legislators' poor oversight.

- **Performance Management**

During interviews, some of the key informants conveyed the need for robust monitoring, evaluation, reporting, and learning systems that will allow supervisors to track performance on a monthly basis. This would help avert possible threats to plans and give them the room and time to come up with plans to mitigate the risk or remedy the mistakes. Thus, the establishment of a performance feedback system is required to help managers determine if set policies, programmes or projects are up to the task and bringing about the expected results.

A key issue highlighted by Zhou and Zvoushe (2013) is that monitoring, and evaluation systems provide early warning signals to managers about potential or actual problems that, if not addressed, may hinder the achievement of desired programme outcomes. In the end, when there are challenges, questions may also arise about the assumptions that informed planning for a developmental programme.

It is commonly understood that monitoring and evaluation can positively contribute towards the achievement of developmental outcomes, especially in instances where information and recommendations obtained through monitoring and evaluation systems are taken into account when it comes to policy development and decision-making. If governments aim to succeed in responding to the demands for improved accountability and performance outcomes as highlighted by Gorgens-Albino and Kusek (2009), a results-orientated monitoring and evaluating system is required to promote and support policy development, as well as the implementation and management of development interventions.

The ineffective approach to performance management was highlighted by key informants as follows: Firstly, it was stated that monitoring and reporting are done more as a chore or a compliance measure rather than as a means to assess performance and provide remedying strategies. Secondly, it was indicated that the GPL lacks a culture of improving performance. This is a serious challenge given the fact that monitoring, evaluation,

reporting, and learning is a useful tool for improving management practices, promoting accountability, and supporting the achievement of developmental programme goals (Lopez-Acevedo, Rivera, Lima, & Hwang, 2010).

The third performance management challenge as indicated by key informants is that there is no adherence to the performance-monitoring reporting requirements and timelines. This is a serious concern also because, “If you cannot measure it, you will be able to manage it” (Thomas, 2003, p.1). The organisation thus becomes at risk of failing to achieve its set objectives due to its workers failing to report on targets timeously. This therefore should be prioritised and addressed by the management to ensure the consistent implementation of performance management. This will also assist in tracking changes or deviations from the norm, for trend analysis purposes and also to assist in decision-making. Going forward, the organisation needs to ensure timely reporting of monitoring data should be made compulsory for public organisations to improve transparency; there must also be communication channels in terms of the results from the monitoring data through different reports like quarterly or annual reports. This is to ensure that the interventions initiated in the GPL institutional plans are measured to inform future decision-making and policymaking. Similarly, Gorgens-Albino & Kusek (2009) highlight that building a strong, efficient, and effective monitoring and evaluation mechanism empowers decision-makers by providing them with an additional supervision tool that provides feedback on performance and also forms a basis for future improvements.

- **Leadership**

Ineffective implementation of strategic plan/institutional plans amongst others is attributed to managerial incompetence (AlQubaisi, 2017); (Yang, Sun & Eppler, 2010). Key informants from the GPL revealed that barriers to ineffective implementation are directly linked to leadership. Key amongst them is the leadership changes at an executive level that create instability and lead to a level of institutional memory loss. Another view is that having the same leadership for too long may cause organisations to become stagnant. The researcher thus concludes that the findings corroborate reviewed literature, which

stresses the need for and importance of stable leadership as a prerequisite for successful institutional planning.

- **Communication**

Key informants in the GPL pointed out that misunderstandings often arise between the top hierarchy of the organisation and the junior staff regarding the interpretation of institutional plans. This is mainly due to opaque strategic planning processes that are mostly top-down in approach and result in insufficient information being dispatched, which ultimately results in incomprehension concerning GPL processes. This leads to the misinterpretation of targets, which results in ineffective strategy implementation. Eresia-Eke and Soriakumar (2021) argue that an ambiguous strategy often becomes a barrier to effective implementation.

A number of key informants pointed out that institutional plans can be misunderstood and potentially serve as the chief reason behind a poor institutional planning strategy. The poor communication of strategic plans among stakeholders has thus been highlighted by numerous authors as an obstacle to strategic plan implementation (AlQubaisi, 2017); (Baloyi & Beyers,2020); (Cândido & Santos, 2018).

Key informant responses varied regarding the challenges and successes encountered in institutional planning. Some responses highlighted an interest in institutional planning. Nevertheless, some narratives from the key informants highlighted that the objectives and goals are unrealistic relative to the budget and implementation skills. Another concern related to this problem was that some key informants are concerned with setting indicators that are not compatible with the idea of SMART in the monitoring and evaluation. These issues make it challenging for the organisation to achieve its goal of providing service delivery as public institutions are obligated to do by the constitution.

As Davutoğlu, Akgül, & Yıldız (2016) have postulated, for the GPL to strike a balance between planning and implementation, the McKinsey model proposes that there should be a dynamic application of inputs, and management should have the leading role in structuring the business of the organisation. Managers should instil discipline by ensuring that they are competent in analysing the structure and identifying deficiencies and

ineffective elements. The entity's hopes and goals should dictate internal dynamics as well as shared values are taken into account when planning and implementing the institutional plans. In addition, the communicating of targets should be all-encompassing to ensure that everyone in the organisation becomes part of the implementation of the institutional plans. Moreover, Davutoğlu, Akgül, and Yıldız (2016) highlight the need for the leadership to have the essential skills that align with the objectives, that are mandatory for the job and the ability to make alternative plans. Being able to decipher how elements in the model may alter one another in the course of restructuring is also an important asset.

Question 2 sought to find the obstacles as well as opportunities in effective strategic operations. While interviewees did not think of their organisations as barriers, they did however bring up outside forces as hindrances. Calls were made towards improving the existing systems, particularly a dedicated office that would have the mandate to keep track of and appraise implementation procedures. The office would be set up in such a way that supports coherence and effectiveness across the board. As a result, the interviewees appreciated the need to develop and promote a sound and transparent governing structure as crucial for the organisation and the attainment of its goals. This system should also be strengthened by the appointment of competent officers while allocating sufficient resources to the office. A supportive culture of the strategy must be ensured across the organisation and protected from sabotage.

5.2.3 Measures that can be adopted to support the successful implementation of Institutional Plans at the GPL.

The first two research questions discussed how institutional plans are implemented as well as the challenges to effective institutional plan implementation. This question sought to develop solutions through the exploration of possible avenues that can assist in improving institutional plan implementation in the GPL. Key informants were thus tasked with identifying possible solutions they perceived to be unique to GPL. These insights helped shape the set of recommendations to be extended subsequently. Here, planning and performance management were identified as the main themes. It is of value to note

that the key informants all called for the addressing of the previously mentioned challenges.

- **Planning**

All of the key informants called for improvements concerning the development of organisational planning in the GPL. This unanimous call points to the importance and significance of institutional planning. None of the participants understated the importance of the issue at hand and also expressed a desire for the improvement of the process. In response to the question of improving the planning process in the GPL, two main areas of improvement were brought up: a) the introduction of refresher courses on planning and development; and b) Institutional planning and implementation should involve the whole organisation, not just senior/middle management. In supporting this view, Fuertes *et al*., (2020, p.4) argue "that planning is the development of expectations for an institution in relation to its potential, creating clear principle core aims and setting realistic, targets priorities, and goals to achieve the set objectives."

- **Performance Management**

Key informants from the GPL referred to the need for an effective monitoring and evaluation system. One key informant pointed out the "need for the people responsible for implementation to properly track progress towards implementation of their plans on a month-to-month and year-on-year basis". Zhou and Zvoushe (2013) identified that being able to track the implementation progress assists organisations to consider key factors such as the successes, challenges, efficiency, and effectiveness of development programmes in decision-making. Ultimately, failure to appropriately plan the execution of plans or performance management systems hampers the performance of the organisation.

Any given department requires a strategy to guide its operations, without which it would fail to operate effectively. A system that affects organisational plans is vital in ensuring the continuous observation, evaluation, and appraisal of employee performances. This system also aids the company in cultivating a culture of accountability amongst its employees (Mueller, 2010). In addition, a precise strategy coupled with a robust

framework improves performance through systematic monitoring, which ultimately encourages public officers to execute their responsibilities to the best of their ability. (Schreurs, 2010). McChesney Covey, & Huling (2012) add that this system helps improve accountability since public officers are obliged to adhere to the strategy that fundamentally improves an organisation's performance.

Hayes, Parchman, and Howard (2011) note that the implementation of programmes needs to be embedded in the logic model. The GPL would benefit much from the use of this approach as it is a tried and tested tool for planning, implementing, and managing performances in many fields, including strategic planning and implementation. This model links the outcomes with processes and theoretical propositions. It will enhance the productivity of the GPL in achieving its vision and mission through the implementation of its institutional plans as the use of this structure describes connections amongst funds, processes, and the results associated with a given programme or project goal. This would help in communicating the activities in the planning phase and provide room for enhanced participation of all actors in the implementation of the strategy in the GPL.

The employment of this model in the GPL could also help the managers make underlying assumptions about the programme explicitly and realise the importance of an integrated approach to planning, implementation, and evaluation.

The third question aimed to gain insights into the methods that can be employed to improve the efficacy of the GPL. Additionally, the question encompassed distinctive features of the legislature. Interviewees freely expressed and shared personal experiences and lessons learned and also offered ideas they thought could be of use.

5.3 IMPLICATIONS OF THE RESEARCH

The research emphasised exploring how institutional plans are implemented in the GPL to achieve its targets. The research purpose was grounded within the GPL and recommends extensive follow-up research in other public service institutions to yield additional results on the themes that this research has identified to broaden knowledge around how institutional plans are implemented. From the engagements with key

informants, it was found the operationalisation of the GPL institutional plans was lacking. Studies have highlighted that this is the case throughout the public service, and this has direct implications for achieving its objectives on public service delivery as enshrined in the Constitution. This research identified the following implications which need to be addressed:

5.3.1 Implications for Managers

The problem that the GPL faces today is the dwindling of resources lost through mismanagement and corruption. The incompetence of the managers who are tasked with providing visionary leadership in the GPL, compounded by their lack of vital skills and the ineptness of the political leadership, renders the delivery of the constitutional mandate of the GPL in disarray. Resulting from this challenge, the whole province suffers as the GPL is the legislative arm of the Gauteng Province. As the research has discussed, the findings of the research concluded that the failure of the managers to communicate and include everyone in the drawing up of institutional plans hinders their implementation.

One way of determining the needs analysis of the GPL could be to ensure that the employment of managers is not linked to political affiliation, but rather to the recognition of the requisite skills of the post and further training in strategic planning.

5.3.2 Implications for further research

Responses from key informants have highlighted varied perceptions towards the implementation of GPL institutional plans in achieving stated goals. Therefore, this research recommends that additional studies need to be undertaken in other public service areas to broaden the scope of the strength and weaknesses of institutional plan implementation.

5.3.3 Implications for policy

The findings of the research have highlighted the deficiencies between policy and programme implementation of the GPL institutional plans. Therefore, it is recommended that policy is synergised with effective programme implementation to determine any

deviations from policy when implementing programmes derived from the institutional plans. Another recommendation is for policy reviewers to consider the needs of employees when instituting institutional plans.

5.3.4 Implications for programme implementers

Findings from the research have shed light on the need for programme implementers to be vigilant against exploitation by managers in institutional plan implementation. Their active involvement in the planning phase of the institutional plans should be considered by the organisation's management as what is planned affects their daily endeavours to make the GPL a successful organisation in meeting its constitutional mandate.

5.3.5 Implications for monitoring and evaluation

The key informants' responses have shed light on how institutional plan implementation deviates from the normal application of the results framework, the logic frame, and the theory of change. It is advisable that the GPL design indicators that are achievable and able to be monitored on a monthly basis. Moreover, evaluation studies should be conducted to see if programme implementation is in line with what the GPL has set for itself in the conceptualisation of the programme. To do this, the managers should have the requisite skills, including in their planning the programme implementers, and regard their inputs as valuable to achieving the GPL-stated outcomes.

5.4 CHAPTER SUMMARY

Here, the research findings were analysed and deliberated upon. Questions that this research sought to answer regarding institutional plan implementation have been answered, more importantly through the views of employees at the GPL. The following chapter, which is also this research’s last chapter, ties the research together, summarises the entire research, and also concludes the research report.

CHAPTER SIX: CONCLUSIONS AND RECOMMENDATIONS

6.0 INTRODUCTION

The summary as well as the conclusion of the research are presented here. Recommendations and suggestions aimed at further research are also given.

6.1 SUMMARY OF THE RESEARCH

The research was aimed at examining the implementation of institutional plans at the GPL, the current practice, and the main gaps or deficiencies experienced with institutional plan implementation in the GPL. To conduct the assessment, this specific research responded to: What is the nature of the implementation of the institutional plans in the GPL; What are the challenges in the successful implementation of institutional plans at the GPL? And What measures could be adopted in ensuring the institutional plans of the GPL are successfully implemented in promoting the effective delivery of services?

The background and introduction were discoursed in the first chapter. Chapter one also provided the problem statement, questions the research sought to answer, and its significance and also provided the overall structure of the research report.

This research reviewed the literature on the implementation of institutional plans to understand the associated challenges in South Africa as well as for countries in Africa and across the world. A review of past studies and evaluations identified a knowledge gap. The research reviewed documented frameworks, from which the researcher established frameworks that would help interpret the empirical findings.

Chapter three detailed the research approaches applied in the research. This includes the design, sampling procedures, methods of gathering information, and methods of analysis. Measures adopted to guarantee the research findings' validity and reliability are also discussed in Chapter three.

Employees from the GPL were selected as the research participants. Purposive sampling was applied to select nine key informants. The sample comprised specialists and managers, personnel that is at the centre of institutional plan implementation. Nine interviews were done using Microsoft Teams. The interview sessions took place from 6 November 2021 to 17 December 2021. Data was collected using a Microsoft Teams recording feature, and the recordings were later transferred to a drive on a password-protected personal computer. This research analysed data through thematic analysis. All ethical procedures were observed in conducting this research. The main limitation was that research cannot be generalised to a larger population, which is the other legislators in South Africa.

Chapter four revealed the results from discussions held with interviewees and the information gathered and also provided an analysis of the information. The findings were discussed with the use of thematic analysis.

This research applied the goal-setting theory and the 7S McKinsey framework to interpret the data collected. Key informants were aware of the institutional plan implementation and the prescripts that guide implementation in the GPL. It was further found that institutional plan development and implementation is by prescribed legislation; however, it does not consider the operating environment. The data collected also shows strategy planning is usually poor and this affects implementation.

Furthermore, it was revealed that although a system for managing performances was in place, it is not very effective. The performance feedback system does not have the adequate tools required in determining if the policies and programmes are accomplishing the desired results.

Chapter five presented arguments to conclude the research and also brings forth the possible implications the research may have for the GPL.

6.2 CONCLUSIONS

The research was aimed at examining institutional plan implementation at the GPL, three questions were developed to help understand the employees' insights on implementing institutional plans within the GPL.

The research findings conclude that key informants showed that they perceived that having an institutional plan in the GPL is important as it guides how to steer the governance of the resources to meet the organisation's objectives. However, some key informants' responses indicated that the implementation of the institutional plans is always burdened with uncertainty. Communication about the planning and implementation is always blurred, leaving the implementers of the institutional plan in disarray about what they are expected to deliver. Another concern related to the ineffectiveness of communication among the governance structures and implementers during the planning phase, the employees' input regarding the development of these institutional plans was obscured, causing a rift between the planners and the implementers.

Key informants' responses showed varied inputs regarding the challenges in institutional planning and implementation. Some responses from the key informants highlighted that the objectives and goals are unrealistic relative to the time to attain the goals and available capacity in the GPL. Another concern related to unrealistic goals was that some key informants are concerned with setting indicators that are not compatible with the idea of SMART goal setting principles. These factors acted as barriers to GPL's provision of public services as enshrined in the Constitution.

The research further concludes that although challenges persist in the implementation of institutional plans in the GPL, some ameliorative strategies have been identified to counter the challenges. Varying perspectives emerged from their narratives about how communication of the implementation of institutional plans is handled in the GPL. Some research key informants alluded that the misunderstanding between the management and junior staff regarding the interpretation of its plans could be solved through

continuous consultation among the different parties involved in the GPL planning and implementing processes.

6.3 RECOMMENDATIONS

6.3.1 Planning

The research revealed that the institutional plan development process is conducted as a compliance ticking-the-box exercise; it is also not inclusive of all non-managerial personnel. Therefore, it is recommended that the organisation ensures that future institutional planning should be all-encompassing by ensuring that it includes all staff as well as other stakeholders. To ensure that the process of institutional planning is effective, the process of implementation ought to be inclusive by way of involving all stakeholders throughout the process. The GPL should set key performance indicators and targets that are SMART, with an emphasis on realistic; and avoid setting milestones that are outside the control of the Legislature.

6.3.2 Inclusivity and Communication

The research revealed that the rigidity associated with the organisational structure of the GPL influences institutional plan implementation. Therefore, the leadership is advised to promote compromise by restructuring the organisation. It should also commit to promoting a culture that encourages open and clear communication across the organisation as well as participatory decision-making practices.

Furthermore, due to the significant impact of non-managerial involvement in institutional planning, it could also imply that the intention for this involvement is to promote their commitment to and the need to support public policy and organisational intents. In addition, this would help non-managers to gain valuable knowledge and experience in institutional plan implementation, which is important for future success. In other words, the executive must involve non-executive employees in the process as this will improve the efficacy of the institutional plan development and the implementation process, which will in the long run benefit the organisation.

6.3.3 Leadership

The research revealed that senior management posts are five-year performance-based contracts and that they can be affected by leadership changes, which can create instability in the GPL. This research recommends that to avoid all senior management contracts expiring at the same time, the GPL can advertise senior management posts before they expire so as to manage the transition better. Further, the GPL should consider making senior management contracts valid for ten years, or for permanent and executive management contracts to remain at five years.

6.3.4 Approach to performance management

The research further recommends that the GPL invests in on an effective monitoring system to track performance. This can be done by ensuring that Monitoring and Evaluation is seen as accountability tool to propel lesson learning. With this realisation, the GPL should ensure that the Monitoring and Evaluation system is effective, free from subjectivity, and hold stakeholders accountable for lack of performance but also ensure that lessons are taken from under-performance so that the same mistake is not repeated. Furthermore, Monitoring and Evaluation findings tend to inform the quality decision-making process. In the case of the GPL, Monitoring, and Evaluation findings tend to provide the organisation with where it is in terms of realising the set objectives and aims, how much is needed to successfully implement all the GPL programmes and projects, who is supposed to do what, when and how, how efficiency, economy, and effectiveness can be realised in the organisation among many. Such kind of information is very crucial to the making and re-making of quality decisions in the organisation. Thus, the GPL should learn from Monitoring and Evaluation findings and share that information with the entire institution to be a reference to how decisions are made.

6.4 SUGGESTIONS FOR FURTHER RESEARCH

Institutional planning and or strategy planning in the legislative sector is an area that needs further research. Understanding this phenomenon has the potential to construe planning as a theory towards the practice of facilitating effective institutional planning in the legislative sector.

As the research did not explore the challenges of ineffective implementation on institutional performance more deeply, this research recommends the undertaking of further research on assessing the effects of institutional plan implementation on organisational performance.

6.5 CHAPTER SUMMARY

The research was summarised and concluded, and recommendations offered. The literature review revealed that the effective implementation of an institutional plan is a necessary ingredient that helps guarantee institutional performance. Notwithstanding this, there appears to be limited research material on the challenges and success factors that enable effective institutional planning within the context of the legislative sector. This research was therefore an attempt to fill this void by using the GPL as the case. Key informants in the GPL assisted in sharing their experiences and uncovered the necessity of access to adequate funds as a major boost towards attaining goals. The researcher hopes this research will benefit the policymakers in South Africa, research institutions as well as businesses that have a direct interest in institutional or organisational planning to ensure the realisation of the goals of the organisations they lead.

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APPENDICES

Appendix 1: Consent Form and Interview Guide

Consent Form Research

Title: Implementation of the Institutional Plans in the Gauteng Provincial Legislature

Name of the Researcher: Yolanda Ngonini

Position of the Researcher: Student at Wits School of Governance

Student No: 1413770

The contact number of the researcher is 0790198307

I, ……, consent to take part in this research. The research has been clearly clarified to me and I fully understand what my participation will entail. I therefore agree to the following:

(Please circle the relevant options below).

I approve of my anonymous involvement	YES NO
I grant the researcher permission to quote me anonymously	YES NO

I approve of my responses being recorded	YES NO
I approve of this information being used anonymously by other researchers strictly for educational purposes after obtaining an ethics clearance.	YES NO

…… (signature)

…… (name of participant)

…… (date)

…… (signature)

…… (name of the person seeking consent)

…… (date)

Section A: Demographic data

1. Gender

Male		Female	

2. Employment level at the GPL

Executive level	
Senior Level	
Middle level	
Supervisor level	
Junior level	

3. Number of years employed by the GPL

0 - 4 years	
5 - 9 years	
10 – 19 years	
20 years or more	

4. Level of education

Pre-matric	
Matric qualification	
Undergraduate	
Postgraduate	

Section B: Questions

1. How would you define institutional plan implementation?

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2. What are the challenges to institutional plan implementation facing the GPL?

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7 How visible are these problems?

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8 How do these challenges affect organisational performance in GPL?

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9 What do you think can be done to improve the institutional plan implementation in the GPL?

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10 What kind of support would be needed for institutional plan development and implementation in the GPL?

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7. Do you have any other issues relating to the institutional plan implementation system you would like to raise?

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8. Which changes would you welcome regarding institutional plan implementation?

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Thank you for your co-operation!

Appendix 2 Information Sheet

Information Sheet

Research Topic: IMPLEMENTATION OF THE INSTITUTIONAL PLANS IN THE GPL

Re: Participant Information Sheet

I am Yolanda Ngonini, a registered master's student for a Management in Public Policy degree at the University of Witwatersrand. In line with the requirements of the programme, I am mandated to complete a research report, for which I am investigating the "Implementation of The Institutional Plans in The Gauteng Provincial Legislature." The purpose of this research is the gathering perceptions around the implementation of the institutional plans in the Gauteng Provincial Legislature (GPL) with a particular focus on 2017/18-2020/21 FYs. I, therefore, take this opportunity to kindly ask you to become an interview respondent in this research which will last about 35 minutes. Additionally, I also seek approval from you to record our discussion with the help of Micro-Soft Teams.

There are no prizes to be gained for participating in the research, nor are there any pitfalls or sanctions for refusing to take part. If you choose to participate and later feel uncomfortable doing so you may withdraw at any time. Confidentiality and anonymity are guaranteed, and you are allowed to refuse to respond to any question you are not comfortable responding to. Instead of names, codes will be assigned to respondents in the final report, for example, respondent 1 or respondent 6 and so on. If after the research, you have any queries or wish to withdraw your views you may contact me on the numbers I have provided in this guide. After the completion of the research, it will be accessible on the online University of Witwatersrand library, or you can directly contact me for a copy.

If you have no problems with participating in this research, kindly append your signature to the consent form attached here. For any further questions or issues regarding this research, please contact the University of Witwatersrand Human Research Ethics

Committee (non-medical), by telephone on 0117171408, email Shaun.Schoeman@wits.ac.za**.** You can also get in touch with me or my supervisor, Professor Pundy Pillay, using the details below.

Yours sincerely,

Yolanda Ngonini

Yolanda Ngonini,

Email 1413770@students.wits.ac.za

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Supervisor: Professor Pundy Pillay

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