

# **Leadership and Strategy Implementation in the Department of Home Affairs, Randburg**

**by**

**Boitshoko Mokgautsi**

**1190976**

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**Supervisor**

**DR. M.D.J. MATSHABAPHALA**

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## **ABSTRACT**

The purpose of the research was to investigate leadership deficits within the Department of Home Affairs and its impact in the implementation of strategy. The research explored what the leadership is doing to promote and drive high performance, and also considered how leadership dynamics can be a barrier to effective strategy implementation. Investigation of these challenges was conducted at the local, regional and provincial level of the Department of Home Affairs.

The research is based on qualitative research methodology. Interviews with staff and managers explained the development and implementation of strategies within the department. Interviews were face-to-face and semi-structured and allowed the researcher to clarify responses and to establish the roles played by the participants within the DHA. The nine participants interviewed play a central role in strategy implementation and organisational performance, and have direct or indirect contact with customers.

In order to understand the leadership challenges and the effects on effective strategy implementation, a thorough interrogation of literature will be employed. The literature review further provided an understanding of the role of leadership in strategy implementation and assisted in identifying leadership deficits within the DHA and its impact on the implementation of strategy as well the role of leadership in strategy implementation in the DHA and its influence on performance.

The study revealed that effective leadership can assist the organisation to structure interventions appropriately to respond strategically and effectively. Leaders must be able to persuasively communicate the

strategy and how it will benefit employees, so that they are able to fully embrace and support it.

The theoretical framework enabled the researcher to inform or explain the phenomenon under investigation. The literature review explained significant leadership theories, which included the transformational leadership theory, servant leadership, and strategic leadership theory. The conceptual framework of the study employed the 20-60-20 theory by Anunzio which is premised on creating and sustaining high performance, by engaging the workforce, and increasing staff's commitment and job satisfaction.

The study provided recommendations on policy considerations for the improvement of leadership and strategy implementation.

## **DECLARATION**

I, Boitshoko Mokgautsi, declare that this research is my own unaided work. It is submitted in fulfilment of the requirements for the degree of Master of Management (in the field of Public Policy) in the University of the Witwatersrand. It has not been submitted before for any degree or examination in any other University.

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**Boitshoko Mokgautsi**

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**Date**

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Lastly, a special thanks to my best friend, Ansharia. Thank you for your constant support, prayers and words of encouragement.

## **DEDICATION**

This work is dedicated to the Almighty God; without you none of this would be possible. Your grace has carried me through.

This work is further dedicated to my amazing parents, the sacrifices you've made have brought me to this point. You are my pillars of strength and prayer partners. Thank you for standing by me and for your words of wisdom.

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# **CHAPTER ONE**

## **INTRODUCTION**

### **1.1 INTRODUCTION TO THE STUDY**

#### **1.1.1 Leadership**

The concept of leadership is one that is hard to identify, in spite of extensive efforts over time to develop an academically and psychologically satisfying understanding through a range of leadership theories and models (Avery, 2004).

Leadership is one of social science's most examined phenomena and has been subject to much scrutiny, based on the fact that it is a common activity demonstrated in humankind and even in the animal species (Day & Antonakis, 2012; Bass & Bass, 2008).

There is a common belief in past studies that leadership is crucial for effective organisational and social functioning. On the other hand, people can easily identify leadership although it may be a challenge to define it. Due to the compound nature of leadership, a precise and generally accepted definition of leadership does not exist and may never be found (Day & Antonakis, n.d)

#### **1.1.2 Defining leadership**

According to Day and Antonakis (n.d, p.5), "most scholars who have studied leadership can agree that in defining leadership it is important to take into account the traits of the leader, the impact or influence a leader has on his/her following, and how their followers view the leader."

Leadership, in the context of organisations, refers to the approach leaders take in their daily interactions with employees, with a broad scope of cultural factors such as values, standards and challenges within the working environment, which similarly affect the employees' behaviour, commitment and performance (Belias & Koustelios, 2014).

Gathungu, Iravo and Namusonge (2015) support this view, and emphasise that leadership is associated with the performance of an organisation and its workforce. Day and Antonakis (n.d, as cited in Liden & Antonakis, 2009) further acknowledge the importance of taking into consideration the environment in which the relationship between the leader and their followers occurs as it can shape the type of leadership that develops and whether it will be valuable.

Thus the most generally accepted and applied definition of leadership is one that encompasses, "the leader as a person, their behaviour, their influence, the interaction between a leader and followers, and the context" (Bass & Bass, 2008).

### **1.1.3 Strategy**

Parallel with the concept of policy and modern management discourse, strategy is a plan of action undertaken to achieve predetermined goals (Omalaja & Eruola, 2011). It is an outline of the various decisions a company must make in order to review its objectives and create policies and plans for achieving those objectives. It is a design to action (Mintzberg, 1987). It puts in place the range of business activities the company is to pursue, and determines the type of organisation it intends to be as well as the type of contribution it intends to make to its beneficiaries. Strategy development as in the case of policy formulation is the process of making decisions which are largely concerned with the development of

organisations objectives, its resources and the environmental limitations (Omalaja & Eruola, 2011).

#### **1.1.4 Defining strategy**

A company's strategy is a clear, intentional and systematic plan towards achieving corporate objectives, through strategic decision-making, and monitoring the progress towards achieving those objectives (Omalaja & Eruola, 2011).

A strategy integrates all the objectives, activities and tasks associated with an objective into a final blueprint. Strategies that are framed and prepared well pave the way for the organisation to gather and distribute its resources in a practical manner in relation to its abilities and limitations, the inevitable and anticipated changes in the environment, as well as the unanticipated strategic changes made by competitors (Beerel, 2009).

A strategy is a plan of the day-to-day operations of the business. By drafting a strategy, it indicates management's commitment to undertaking a particular course of action in an attempt to grow the business and improve its performance and financial position in the marketplace (Thompson, Strickland & Gamble, 2010).

#### **1.1.5 Strategy implementation**

Strategy implementation is the path an organisation takes to reach the goal it has set out to achieve or move to the position in which it sees itself in the future (Lihalo, 2013).

Formulating strategy can be a difficult task for any management team, but implementing that strategy can be an even more challenging task. A broad range of barriers can potentially affect the process, thus making it difficult

for the organisation to convert the strategic plan into action (Mbaka & Mugambi, 2014).

Strategy implementation is a craft that requires special attention. Well-formulated strategies often fail to produce the desired results as a result of poor implementation (Mbaka & Mugambi, 2014; Dutka, 2013).

When a strategy is implemented, it is important for it to be persuasively communicated with its relevance clearly understood, in order to eliminate concerns and doubts, and secure buy-in, dedication and enthusiasm from the staff, ensuring that there is general agreement regarding the details of the implementation and the key tasks associated with it, as well as checking that all systems and processes are in place for the effective implementation of the strategy. Moreover, staff must be informed regarding the need for the new strategy and how it will benefit them and the organisation.

Implementing strategy can be a challenging and daunting process. The true test in carrying out the strategy lies in the range of activities that require attention along with the frustrating issues that come with it that must be dealt with. Proficient and adept leadership is required to pinpoint exactly what it is that requires attention to foster in the new plans and what the best tools are to use to accomplish these things in a timely manner that will yield good outcomes (Thompson, Strickland & Gamble, 2010).

Sufficient people-management skills are required, along with commitment to completing the process and the persistence to get a range of activities dispatched and rolling, and to combine the efforts of the various teams in order for the various activities to run smoothly. Implementing strategy is a task for the entire management team. Managers at the top need the support of middle and lower managers, as it is they who must ensure that

teams and frontline employees perform various strategic activities well (Thompson, Strickland & Gamble, 2010).

### **1.1.6 International best practices of leadership**

It is evident that responsible and effective leadership is required and many speculate where that type of leadership may emerge from. Scepticism in government, corporations and social institutions has increased over the past several decades, and has changed the perspectives of many leaders and leadership. Many view leaders as ineffective and citizens are not only frustrated with the evident dearth of leadership, but are challenged in recognising what the root cause is (Raffel, Leisink & Middlebrooks, 2009).

In difficult times strong leadership is particularly required, not only at the top but at all levels within organisations and societies. Public sector leadership is especially important. Many of the challenges are process-driven which can be complex and dynamic. There is not only a need for, but an expectation of, effective public sector leadership (Raffel, Leisink & Middlebrooks, 2009).

Leadership is seen as important in the public service as it affects how satisfied citizens are and similarly how government departments and agencies carry out their mandates. A key component of good governance is leadership that includes accurate forecasting, efficiency, honesty, and accountability (McCarthy, 2012). The role of leadership in this regard is essential, as it provides a vision and fosters an organisational culture that embraces positive change towards the fulfilment of that vision.

International best practices of leadership can be viewed in countries such as the United Kingdom, United States of America, Canada, Australia, New Zealand and Singapore, which have shown that strong leadership and a clear vision prompted and drove “the major reforms in public

administration and management systems. The main goal was to improve the way in which governments are managed and services are delivered, with an emphasis on efficiency, effectiveness, and value for money” (Economic Commission for Africa, 2010).

In financial management, budget systems are more transparent and budgets are linked to development plans with a strategic approach to resource allocation and management as well as control of public spending (Economic Commission for Africa, 2010).

There are numerous training and leadership development courses in the United States at local level, state government, university centres and others (Raffel, Leisink & Middlebrooks, 2009).

New Zealand has a desirable reputation internationally and is well-regarded for its public service. It is regularly rated highly for the absence of corruption. This is a result of its strong and accountable leadership, rooted in the ethics of public service, which is committed to maintaining and upholding the law and sustaining public institutions (New Zealand Government, 2011).

The United Kingdom has been known for outsourcing the production of goods and delivery of services to outside agencies, leaving the ministries and departments of central government to undertake policy planning, procurement and monitoring of performance (Economic Commission for Africa, 2010, p.1). The shift from local government authorities traditionally providing services to the public ‘in-house’, to,

“the use of ‘shared services’ between multiple local authorities and other public bodies; outsourcing to private or voluntary providers and so on arose from the introduction of compulsory tendering in the *Local Government Act 1988*”(Sandford, 2016, p.4).

Within the Canadian, Japanese and Singaporean public services, merit forms the basis of all public service appointments. Generally, countries that employ the merit system have better qualified civil services (Economic Commission for Africa, 2010).

Many East and Southeast Asian countries have been internationally branded as economic success stories, Singapore being one of them. The success of Singapore has been widely attributed to its rapid development and economic success that was steered by the state, and as a result has become a model for many developing countries to emulate. Additionally, it has been praised for its low levels of corruption, effective administration, its excellent use of technology in governance and much more (Haque, n.d.).

Singapore has achieved high scores on international governance indicators, as a result of its rapid and sustainable economic growth, which is largely attributed to the reform of its civil service, solid and enforceable anti-corruption policy and excellent public service retention policies (Robinson, 2015).

Much of the city's success can be credited to the leadership of former Prime Minister Lee Kuan Yew, a charismatic and transformational leader, who executed his vision for a new and improved island-city state by focusing on development (Hussain, 2015; Ezrow, Frantz & Kendall-Taylor, 2016). In addition to Singapore's economic success, its civil service that is governed by people who are selected based on merit is highly rated for its integrated strategic planning, lack of corruption, and innovative educational system (Francesco, 2013).

### **1.1.7 Best practices of leadership in Africa**

In Africa, best practices of leadership derive from the transformational leadership theory and have been witnessed in countries such as Ghana, Liberia and Rwanda where the components of good governance are entrenched in the design of their policies and programmes and are evident in the economy to ensure that the Sustainable Development Goals (SDGs) are realised (Hacker, n.d.).

Within the Southern African Development Community, Botswana and Mauritius are among the few that are well-known examples of successful development attributed to strong and committed leadership. These countries have been recognised for their strong institutions, political stability and efficient civil service. Leadership matters in steering the development of institutions, and the effectiveness of institutions is premised on good leadership. Both countries have become politically and economically successful as a result of sturdy leadership (Sebudubudu & Mooketsane, 2016).

Botswana's first President, Sir Seretse Khama, laid the foundation for his successor to follow. He was instrumental in creating a strong state dedicated to rapid and sustainable development (Ezrow, Frantz & Kendall-Taylor, 2016). Khama established a model for high ethical standards, a strong, independent and accountable public service, and a government focused on development. Similarly, Mauritian leaders displayed qualities of visionary leadership. Mauritius had its own strong leader, Seewoosagur Ramgoolam, who also laid the foundation for successful development that has transformed the island of Mauritius (Sebudubudu & Mooketsane, 2016).

In most countries and especially in developing countries, leadership in public sector administration is necessary for the optimal performance in public services, and the development of the economy. This is particularly

true in the SADC region where in most countries the public sector controls the economy (Lekorwe, 2010).

It is essential that the public sector is managed efficiently and effectively. Public servants need to be trained in best practice in public administration and management, and must be continually exposed to developments and innovations in their field. The need for sustained and improved performance in the public service within the region gave rise to the establishment of centres of excellence in public sector administration and management (Lekorwe, 2010).

South Africa has embraced the use of technology to improve service delivery. Innovative and transformational leaders have come to the forefront in Information Communication and Technology (ICT) service delivery transformation. Departments such as the Government Communication and Information System (GCIS), as well as the Department of Home Affairs (DHA) are examples of organisations using new technologies to improve public services (South African Government, 2015).

Provincially, the Gauteng leadership such as Members of the Executive Council and Executive Mayors have committed to becoming more participatory by spending time in communities in an effort to strengthen relationships with the community members and leaders, ensuring the effective delivery of infrastructure projects and governing with a greater sense of urgency, integrity and transparency. The leadership is transformational in its approach to deliver services and put an end to corruption, and will ensure that positions within the province are filled by capable individuals with the required skills and knowledge.

Within the suburb of Randburg in the City of Johannesburg the leadership is consultative, collaborative and technical in their approach to service

delivery. Regarding collaboration, a positive example is the partnership between the Department of Home Affairs (DHA) and the Gauteng Provincial Government's Growth and Development Agency (GGDA), which collaborated improve service delivery in visa facilitation services. Subsequently technical expertise came into play when the DHA partnered with major banks to set up facilities within bank branches to issue smart ID cards. This collaboration between government and business will reduce the long queues at existing Home Affairs branches (*Randburg Sun*, 2015).

## **1.2 BACKGROUND TO THE STUDY**

The Department of Home Affairs is an organ of the state that provides a wide range of services under the civic and immigration functions within the framework set out by the Constitution. The Department processes a large number of enabling documents and transactions annually. Due to the scale on which the Department functions, achieving and maintaining service delivery standards is challenging.

In its Annual Performance Plan (APP) (2015/16) Home Affairs refers to its department as one that has the largest client base compared to other government departments. Clients are serviced in over 400 frontline offices across the country. DHA is an enabler of national security, service delivery and efficient administration.

The DHA has experienced challenges as an organisation once polluted by corruption, poor and slow service delivery, and lack of capacity and skills leading to customer dissatisfaction. Moreover, the systemic gaps as a result of the duplication of functions and systems that are not aligned led to the failure in adequately documenting the number of people migrating to South Africa from neighbouring countries through South Africa's porous borders. A further challenge the DHA faced over the years, as a result of

the above-mentioned issues, was its disclaimer audit opinions it received from the Auditor General (De Klerk, 2011).

A turnaround strategy was implemented by the DHA in 2008 to address the numerous issues that affect its service delivery. This led to the effective implementation of internal procedures in finance and supply-chain management to prevent and reduce the likelihood of risk. The processes of applying for official documents such as identity documents and passports were restructured and well-run (Bauer, 2012).

From its inception, the strategy that citizens requested was the main focus. Strategic advances were made as a result of improvements made in key operations. In addition to the turnaround strategy, a draft macro policy framework was developed in an attempt to align the DHA with government's national priorities. From this the department's strategic goals emerged.

The framework was approved by the Minister and presented to Cabinet. In its presentation the Department linked seven critical factors to ensuring the sustainability of the strategy: effective leadership, management and governance, proficient and skilled workforce with good ethics, integrated systems and operations, appropriate infrastructure to support the delivery of key operations, and a good and satisfactory working environment.

This turnaround was as a result of former Minister of the DHA, Nkosazana Dlamini-Zuma, whose team was comprised of specialists and skilled individuals. Since service delivery was and still is the main challenge, she also employed more people at frontline offices in an effort to deliver services speedily and effectively and where needed, augmented frontline offices with additional personnel to deliver services. The DHA has brought in experts both from the private and public sector to push the department's turnaround strategy.

The task team brought radical changes to the department by “creating a radically more efficient, customer- and business-friendly home affairs structure able to fight corruption effectively, deliver services on time and serve the needs of the population” (*Mail & Guardian*, 2007).

The department has made great strides in improving its service delivery and was subsequently praised for its outstanding performance and received an award of service excellence from the Department of Public Service and Administration who rated it as an employer in 2010-2011 (Bauer, 2012).

Companies operate in an environment that is constantly changing, whether socially, demographically or economically. In March 2015 the DHA established the Moetapele programme aimed at ensuring that high standards of front office service delivery are maintained. Officials at all levels within the Department are to steer and drive the strategy, and with good leadership high performance in the workplace can be achieved (Department of Home Affairs, 2015).

The workforce of an organisation is its key asset, as they are critical to the organisation’s performance, and for that reason the Moetapele initiative aims to develop and preserve a workforce of high performing individuals to satisfy clients in DHA offices across the country. Improving service delivery and improving performance in the public service is necessary to reduce costs and provide the organisation with a competitive advantage (Department of Home Affairs, 2015).

However, today the DHA still finds itself challenged by outdated, fragmented and vulnerable systems which, to a limited extent, have been professionalised but remain largely paper-based. Whilst the department

attempts to address these challenges through various strategies, offices across the country still lack professionalism.

In a speech by the Deputy Minister of Home Affairs on the Budget Vote Debate (2016), it was emphasised that,

... the quality of service resonates in the minds of the clients, more than a beautiful office would with terrible staff. We however still do have challenges in certain key areas of our operations which need urgent attention and these include critical posts that must be funded to ensure that we always have adequate staff in our ports of entry and front offices.

### **1.3 PROBLEM STATEMENT**

The lack of leadership and management skills negatively affects the acceleration of service delivery. Leadership plays a crucial role in service delivery and the performance of the department, which may hinder its outcomes.

Public service leaders are key agents in meeting the expectations of consumers and other stakeholders. Leaders are represented as being responsible for reform; the onus is on them to instigate and implement change (Teelken, Ferlie & Dent, 2012, p.27).

According to Koehler & Pankowski (1997), government leaders should see themselves as change agents and not only administrators. Their job should not only focus on achieving outputs, but on meeting and exceeding customer expectations.

The leadership deficits and dynamics within the DHA hinders the effective implementation of strategy and therefore further impacts the performance of the organisation.

The scope and reach of services the DHA provides is extensive. The Department processes a large number of enabling documents and transactions annually. Due to the scale on which the Department functions, achieving and maintaining service delivery standards is challenging.

In spite of the various attempts to improve service delivery standards through an array of programmes, “the Department is still constrained by a legacy of legislation, funding, security, systems and capacity that is not aligned with the needs of a sovereign democratic state” (Discussion paper, 2017, p.11).

The most positive outcome for an organisation that performs well should not only be the targets that satisfy the objectives of the department, but also the employees doing their best to meet the requirements of their jobs. Jooste and Fourie (2009, p.52) explains that, “Leadership is widely described as the main thrust for effective strategy implementation. However, a lack of leadership, by the top management has been highlighted as one of the major barriers to effective strategy implementation”.

Commitment from employees, poor performance levels and retention and talent management issues are the most critical challenges to managing the workforce of an organisation especially in the long-term. Employees who are loyal place the company in a favourable position as it has leverage over its competitors. In order to manage change effectively, it is necessary for organisations to retain those employees as they are able to deal with change.

Where becoming a high performance organisation is the goal, leadership is the engine as this is what moves the organisation in that direction (Kolzow, 2014). For the DHA to become a high performance department,

the leadership needs to ensure that its workforce upholds and maintains high standards of service delivery.

#### **1.4 PURPOSE STATEMENT**

The purpose of the research is to investigate leadership deficits within the DHA and the impact on the implementation of strategy. The research will explore what the leadership is doing to promote and drive high performance, and will also consider how leadership dynamics can be a barrier to effective strategy implementation.

Investigation of these challenges will be conducted at a regional level of the DHA. In order to understand these challenges, literature review will be undertaken together with interviews with staff and managers who playing a critical role in both the development and implementation of strategies within the department.

The research will present findings in relation to strategy implementation in the DHA. The research further seeks to identify strategies for consideration in the implementation of strategy in the department. Data gathered from the study will facilitate the interpretation and analysis of the findings. In addition, recommendations with reference to leadership and strategy implementation will be presented.

Extensive research has been done over time in the area of leadership and strategy implementation. The purpose of this study is exploratory and descriptive and will answer the questions of 'how' and 'who'.

The study will add to the existing body of knowledge on the subject and furthermore intends to contribute towards addressing the knowledge gap concerning leadership challenges in the implementation of strategies

within the public service sphere, and offering a better understanding of these issues.

## **1.5 SIGNIFICANCE OF THE STUDY**

The study is expected to provide insights into the critical leadership issues in strategy implementation in the DHA. The study will assist policy makers and stakeholders to identify and address the challenges, and will also assist in sharing experiences and perspectives among the various regional offices.

## **1.6 LIMITATIONS OF THE STUDY**

This study is limited to the Randburg Medium Office within the Johannesburg region of the Department of Home Affairs and cannot be generalised beyond that office. The participants were not randomly selected, therefore the results cannot be extrapolated to the entire population.

## **1.7 RESEARCH QUESTIONS**

### **1.7.1 Primary research question**

The primary research question is: “What role does leadership play in driving and implementing strategy in support of service delivery?”

### **1.7.2 Secondary research questions**

The secondary research questions are:

- What are the leadership challenges that hinder strategy implementation?
- What are the leadership trends in strategy implementation?

- What are the leadership strategies for consideration in the implementation of strategy in the DHA?

## **1.8 RESEARCH AIM AND OBJECTIVES**

The main objective of the study is to examine the role of leadership in implementing strategy in the DHA. The study will explore how leadership challenges obstruct or delay strategy implementation and how these challenges ultimately affect the performance of the organisation. Additionally, the research aims to explore the drivers of strategy implementation within the department for improved performance.

To achieve the primary objective, secondary objectives of the research have been put in place to investigate:

- The leadership challenges in the department;
- The success of strategy implementation in the DHA;
- The obstacles to effective strategy implementation;
- The individuals tasked with steering the implementation of strategy in the DHA; and
- The role of leadership in the public service, and specifically in terms of strategy implementation.

## **1.9 OUTLINE OF THE REPORT**

### **Chapter 1: Introduction**

Chapter one provides a general summary to the study. In this chapter the background to the study, problem statement, purpose statement, research objectives and research questions are provided along with the summary of chapters.

### **Chapter 2: Literature review**

Chapter two outlines the theoretical framework of the study by providing detailed research on existing literature gathered from academic books, journals and government documents. The review of the 20-60-20 theory gives a broad framework which forms the basis to discuss the findings of the research.

### **Chapter 3: Research Methodology**

This chapter discusses the techniques and approach employed to collect, present and analyse the data gathered in the research report.

### **Chapter 4: Data presentation**

This chapter presents detailed findings on the data collected from interviews with respondents.

### **Chapter 5: Data analysis**

The results presented in chapter four are analysed and interpreted according to the research objectives. Meaning is given and the themes and patterns documented in chapter four are discussed.

### **Chapter 6: Recommendations and Conclusions**

In this chapter the results of the study are summarized to provide conclusions and recommendations for additional research in this field.

## **1.10 CONCLUSION**

This investigation of leadership and strategy implementation aims to bring about an improved understanding of the challenges of leadership in the Department of Home Affairs in Randburg.

This chapter provided the context of the research report, presented the research questions and the background to the study. It examined the

problem statement, purpose statement, research questions, and research objectives. It shows how the research report is structured through the chapter outline of the report.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 INTRODUCTION**

The purpose of the literature review is to provide in-depth and comprehensive information on the subject of the research. A literature review is an interpretation of the relevant information that is available on a particular topic that involves analysing, evaluating, summarising and synthesising information (Wagner, Kawulich & Garner, 2012).

#### **2.2 DEFINING LITERATURE REVIEW**

A literature review can be defined as a “process of meticulously selecting documents to obtain data, insights and information on a particular topic, which has been written from a specific frame of reference in order to enable the researcher to address the issues the study seeks to solve or communicate, or to communicate the various perceptions surrounding the field of inquiry. Moreover, it carefully assesses the relevance of those documents in relation to the purpose of the study” (Ridley, 2012, p.3).

A literature review is a “process of evaluating available documents of a published book of knowledge. The information gathered is then summarised, revised, categorised and analysed” (Duke University, n.d.). Ridley (2012) further states that a literature review enables the inquirer to gather extensive research and identify themes relevant to the study. Connections can be formed from the various sources of information obtained, which will allow the inquirer to locate where his/her research fits within those sources of information. Conducting a literature review not only links the researcher with previous studies in their field of inquiry, but

shows that the researcher has absorbed the information, understands it and has responded to it as it forms the groundwork of their study.

The literature review steers the research and allows the researcher to logically present the material in a way that will shape the argument of the study, and further identifies what techniques will be employed in the methodology. Additionally, it becomes the backbone of the research as it supports it in identifying gaps within prior research which the current study seeks to address, and supports the research findings (Ridley, 2012).

A literature review provides the researcher with a broad understanding of the discipline and the specific area of focus within the discipline. From this broad understanding arise facts, theories and models within the discipline and the specific area of study. Subsequently contradictions and inconsistencies are exposed (Wotela, 2016).

### **2.3 SIGNIFICANCE OF LITERATURE REVIEW**

A literature review is significant to research as it allows the researcher to interrogate information that will enable him/her to decide on the research approach of the study (strategy and design options). Moreover, the researcher is able to interpret empirical research findings.

The rationale behind the use of a literature review is that it provides background to the study, in terms of what is already known or understood about the topic, and it defends the research in persuading the reader that it is relevant and worth doing (Ridley, 2012). The purpose of the literature review is to present the material obtained from different sources in short passages and combine the main points, thoughts, perceptions and findings. The research methods emerge from the synthesis of the readings (Ridley, 2012).

Reviewing literature allows the reader to identify what has been done that closely relates to the study being reported. According to Creswell (2003), a literature review gives insight into one's own study by filling in gaps that may exist in the body of literature as well as extending previous studies. It provides a logical frame to justify the significance of the study, and allows the researcher to benchmark by comparing the results of a study to other findings.

Another important purpose of a literature review is to discover approaches to research and data collection methods that have been useful in studies related to the researcher's, thus facilitating the interpretation of the findings. It will also provide information about methods that have not worked well.

The literature review will identify leadership deficits within the DHA and its impact on the implementation of strategy. The research study will further investigate the role of leadership in strategy implementation in the DHA and its influence on performance.

## **2.4 THE CONCEPT OF LEADERSHIP**

The concept of leadership is open to wide interpretation, in spite of extensive efforts to develop an understanding that encompasses academic and psychological aspects through a range of leadership theories and models (Avery, 2004). Fiedler (1971), for example, states that: "There are almost as many definitions of leadership as there are leadership theories—and there are almost as many theories of leadership as there are psychologists working in the field" (Day & Antonakis, n.d, p.4). The study of leaders and leadership is a worldwide phenomenon, converging with the rise of civilization (Bass & Stogdill, 1990).

The study of leadership has attracted many researchers globally. There are numerous scholarly studies available on the study of leadership which suggests that there is an extensive range of theoretical methodologies used to examine leadership practice, process and traditions (Northouse, 2013).

Leadership is one of most studied phenomena in the field of social sciences and has been subject to much scrutiny, based on the fact that it is a customary practice demonstrated not only in communities but in the animal kingdom too (Day & Antonakis, n.d; Bass & Bass, 2008).

The earliest studies of leadership emerged in the 18<sup>th</sup> century. In 1869 Galton brought to light a basic concept that informed widely held ideas about leadership (McCleskey, 2014). This suggested that specific dispositional characteristics set apart the leaders from the non-leaders; “Thus, researchers began to identify the various disparities in personality traits among individuals that are considered to be linked to effective leadership” (Day & Antonakis, n.d, p.7).

At the turn of the 20<sup>th</sup> century, this notion of leadership, otherwise referred to as the “great man theory”, expanded into the trait theory of leadership (McCleskey, 2014). This theory suggests that basic traits cause leaders to behave in a certain way which is consistent in different situations (Sethuraman & Suresh, 2014). “This approach states that leaders have characteristics that they are born with and it remains consistent for a long time” (Sethuraman & Suresh, 2014, p.166).

In the 1950s researchers shifted from trait literature to behavioural styles of leaders. This approach to leadership focuses on what leaders actually do as opposed to their character traits. According to the behavioural theory, people can be taught, through training and evaluation, to become

great leaders (Amanchukwu, Stanley & Ololube, 2015; Day & Antonakis, n.d.).

In the mid-1960s the leadership contingency theory movement emerged. Created by Fiedler, the model states that effective leadership in any work environment is dependent on the situational variables in an environment (Amanchukwu et al., 2015).

At a time when theoretical advances in leadership research were lacking, the work of Bass and his associates awakened an interest in the study of leadership. In 1978 Burns first introduced the concept of transforming leadership. According to Burns, transformational leadership occurs when leaders and followers work in unison to progress and increase their level of morale. A few years later Bass (1985) expanded on the work of Burns. The Bass model suggests that the leaders, through their behaviour, are able to persuade followers to rise above having their own interests at heart for the greater good. Additionally, the leader cultivates an environment in which followers are given a platform to be innovative and suggest alternatives to contest the state of affairs (Day & Antonakis, n.d.).

#### **2.4.1 Defining leadership**

According to Day and Antonakis (n.d, p.5), “most scholars who have studied leadership can agree that in defining leadership it is important to take into account the traits of the leader, the impact or influence a leader has on his/her following, and how their followers view the leader.”

Day and Antonakis (n.d, p.5; Liden & Antonakis, 2009) further acknowledges the importance of taking into consideration the environment in which the relationship between the leader and their followers occurs as it can shape the type of leadership that develops and whether it will be valuable. Thus the most generally accepted and applied definition of

leadership is one that encompasses: “the leader as a person, leader behaviour, effects of a leader, the interaction process between a leader and followers, and the context” (Day & Antonakis, n.d, p.6 as cited in Bass & Bass, 2008).

Leadership is defined by Webster’s Dictionary as steering, conducting, managing or leading among a group of people (Uzohue, Yaya & Akintayo, 2016). Leadership is a process of influencing others to accomplish an objective, by providing an environment in which the objective can be achieved and directing the organisation in a manner in which it becomes more logical and unified. Leaders achieve this by utilising their leadership qualities and applying their leadership style. (Carmichael, Collins, Esmell & Haydon, 2011; Uzohue, Yaya & Akintayo, 2016; Nwokocha & Iheriohanma, 2015).

Nwokocha and Iheriohanma (2015, p.186, as cited in Armstrong, 2012) states that “leadership involves developing and communicating a vision for the future, motivating people and securing their engagement.”

Northouse (2013) defines leadership as being premised on common goals and argues that there is a common drive towards achieving goals, and this gives leadership an ethical connotation as it emphasises the need for leaders and their followers to work in unison.

How well an organisation performs and how efficient its resources are allocated, mobilised and utilised therefore largely depends, *inter alia*, on the leadership style (Nwokocha & Iheriohanma, 2015; Obiwuru et al., 2011). Moreover, “ineffective or inappropriate leadership styles can directly affect the performance and retention of employees in modern organisations” (Nwokocha & Iheriohanma, 2015, p.186 as cited in Northouse, 2013).

## 2.5 THE CONCEPT OF STRATEGY

Parallel to the concept of policy and modern management strategy is a plan of action undertaken to achieve predetermined goals. According to Mainardes, Ferreira and Raposo (2014), strategy developed from its military origins and arose from the need to defeat enemies. The Chinese were among the first to discuss strategy. In 400 B.C. Sun Tzu wrote the book, *The Art of War* (Wikipedia, 2017), praised as a leading work on military strategy which symbolised the action of leading armies during times of war and overcoming challenges.

The study of strategy can be found in the works of many scholars such as Mintzberg (1991), McKeown (2011) and Kvint (2009) who were some of the first scholars to define the term. Formulating and implementing strategy and strategic management originated in the works of thinkers such as Chandler (1962), Porter (1996) and Mintzberg (1991).

As an instrument of success in war, the concept of strategy later spread into other fields of academia and business, such as management, strategic management as well as politics, and is even more established and consolidated within the sphere of management (Mainardes, Ferreira & Raposo, 2014). Strategy formulation and implementation has since evolved and become a widely desired skill. Von Clausewitz (1832; 1989) and Liddell Hart (1929) are also recognised scholars on military strategy.

As business strategy emerged as a field of study, historian Alfred Chandler studied the relationship between strategy and organisational culture, concluding that the implementation of a strategy will require an organisation to change its structure. Mintzberg's work derived from the strategic management school of thought, where he argues that strategy is

more than just a detailed plan of action. A strategy is positioned and evolves within an organisation and as it evolves its adapted. Porter writes prolifically on economics and business strategy, where he takes a mathematical approach to strategy through his design of models and formulas (McKeown, 2011).

The environment in which strategy occurs can be volatile and often harmful to the business. Therefore, the main objective of a strategy is to prepare the organisation through a planning process to tackle issues affecting the longevity of the organisation, due to the current hostile environment in which it operates, as well as logically positioning the capabilities, experience, credentials and resources of the organisation in the marketplace. For that reason, strategy is a necessary tool for effective business management (Mainardes, Ferreira & Raposo, 2014).

Strategy development, as in the case of policy formulation, is the process of making decisions which are largely concerned with the development of the organisation's objectives, its resources and the environmental limitations (Omalaja & Eruola, 2011).

The concept of strategy still appears to be somewhat vague, and thus subject to many interpretations and opinions (Mainardes, Ferreira & Raposo, 2014, as cited in Bhalla, Lampel, Henderson & Watkins, 2009). Various definitions for the term "strategy" have been presented based on the views of individuals (Esmaeili, 2015).

### **2.5.1 Defining strategy**

A company's strategy is a clear, conscious and systematic plan towards achieving corporate objectives, through strategic decision-making, and monitoring progress towards achieving those objectives (Omalaja & Eruola, 2011).

Contributing author to Mintzberg's '*Strategy bites back*', John Kay states that strategy is not just a plan but rather a behaviour as it arises from human actions. "It's a pattern in a stream of actions." It further has a unique and valuable position as an organisation is located in the market (Mintzberg, Ahlstrand & Lampel, 2013; Porter, 2008).

Strategy is an outline of the various decisions a company must make in order to review the plans put in place to achieve the objectives. Moreover, it puts in place the range of business activities the company is to pursue, and determines the type of organisation it intends to be as well as the type of contribution it intends to make to its beneficiaries (Omalaja & Eruola, 2011). In management, the strategy is an integrated plan created to ensure that the fundamental objectives of a company are accomplished (Mintzberg, 1987).

A strategy integrates all the objectives, activities and tasks associated with the objectives into a final blueprint. Strategies that are framed and prepared well pave the way for the organisation to gather and distribute its resources in a practical manner in relation to its abilities and limitations, the inevitable and anticipated changes in the environment as well as the unanticipated strategic changes made by competitors (Beerel, 2009).

A strategy is a plan of the day-to-day operations of the business. By drafting a strategy, it indicates management's commitment to undertaking a particular course of action in an attempt to grow the business and improve its performance and financial position in the marketplace (Thompson, Strickland & Gamble, 2010). McKeown (2011) explains it succinctly as shaping one's company's future.

Having given an explanation of the term "strategy", strategic management requires some explanation. Omalaja and Eruola (2011) defines strategic

management as the process of expressing what it is the organisation seeks to accomplish, crafting plans, policies and activities to achieve the objectives and disseminating the resources required to implement the plans, policies and activities.

Esmaeili (2015) describes strategic management as the ability and skill to formulate the activities of organisations and assess the complex decisions for accomplishing the objectives through the incorporation of management factors, advertising, financial affairs, manufacturing or development services, and data collection systems.

There are four key elements to strategic management. The first is environmental scanning, which is a process of evaluating the factors within the organisation's setting, and evaluating the organisation's internal factors at a macro and micro level in order to recognise the potential risks and opportunities. The second element is strategy formulation, a process whereby the best option for achieving the organisational goals and objectives is determined (Zafar, Babar & Abbas, 2013).

Thirdly, implementing strategy involves drafting an organogram, allocating resources for the various programmes and activities, creating a channel for decisions to be made and resolutions to be formed, based on accurate information obtained, and lastly, the management of human resources. The final element in the strategic management process is evaluation. The fundamental tasks associated with strategy evaluation are assessing the internal and external factors that could potentially impact the current strategy, reviewing performance, and taking corrective measures. Evaluation ensures that the organisational strategy and its implementation is in line with the objectives (Zafar, Babar & Abbas, 2013).

## **2.6 STRATEGY IMPLEMENTATION**

Strategy implementation is defined as a process within which the strategy is communicated, understood, accepted and carried out through a range of activities. It is further recognised as a key element of performance (Andrews, Boyne, Law & Walker, 2011).

Lihalo (2013) defines strategy implementation as the process an organisation takes in order to achieve what it has set out to do, and where it desires to be in the future. Strategy implementation is mainly administered internally within an organisation. It involves working together as teams, organising, inspiring and motivating staff, and aligning the strategy to key operations and systems. It further entails transforming the strategic objectives into feasible projects that will support and produce the desired results.

The strategy implementation process is highly dependent on extraordinary skills and expertise, as it is a more challenging task than formulating strategy. In spite of the challenges associated with this process, particularly the rate of exchange of information and evaluation, an alteration in the existing operational plan may be worth considering (Radomska, 2014).

Andrews et al (2011) further states that when studying implementation, it is important to consider the method the organisation uses to implement policy.

Effective strategy implementation requires an integration of collective expertise, knowledge of managers and an approach to decision-making that is appropriate (Radomska, 2014). The effectiveness of strategy implementation is also dependent on the manner in which managers handle and adjust to various situations and evaluate and manage information, which can alternatively be linked to the type of strategy that is to be implemented.

Radomska (2014, as cited in Forbes & Milliken, 1999) highlights the importance of the role of managers, which encompasses across-the-board co-operation, evaluation of emerging opportunities that will place the organisation in a favourable position to gain leverage on its competitors, and making the right decisions based on thorough investigation. Moreover, managers are to play an active role by becoming involved in the implementation activities. In order for managers to make strategic decisions they should be in possession of a divergent set of skills and abilities (Radomska, 2014).

Managers are the leaders of change and their perspectives must be taken into consideration. They must be able to reason and be rational in complex situations, be able to quickly recover from those complex situations and be motivated (Radomska, 2014).

Lihalo (2013, p.9, as cited in Musyoka, 2012) argues that sensitive matters are involved in the implementation of strategy, such as “the mobilisation of resources, restructuring, cultural changes, technological changes, process and systems changes, as well as policy and leadership changes.”

## **2.6.1 Barriers to strategy implementation**

### **2.6.1.1 Communication**

Inadequate communication among policy makers, management and staff of the organisation has often been the major barrier to effective strategy implementation. Mbaka and Mugambi (2014) found that the reason for the workforce not fully understanding their roles and responsibilities is poor communication in the vision and strategic objectives of the organisation. Failure by strategy makers to divulge important information and to openly share expectations with teams undermines the implementation of strategy.

Effective communication promotes the successful implementation of strategy, and should therefore clearly clarify the roles and responsibilities to be executed by employees. Leaders and managers should focus on building and improving relationships with their staff by promoting communication that is open and engaging. Similarly, issues related to communication “may have been brought about by the structure of the organisation which in turn leads to the creation of a barrier to the implementation of strategy” (Lihalo, 2013, p.10).

### **2.6.1.2 Leadership**

The lack of efficient leadership in an organization can be a further barrier to effective strategy implementation. A leader who fails to create a strategic vision that inspires and motivates its workforce to achieve the desired objectives runs the risk of having a strategy that is poorly implemented. Similarly, poor communication among the various levels of management within the organisation further affects the success of strategy implementation. A manager’s inability to understand the current position of the organization and its future by effectively forecasting as well as supporting employees and co-workers hinders the effective implementation of strategies (Mbaka & Mugambi, 2014).

### **2.6.1.3 Organisational structure**

According to Van Donselaar (2012), the most significant barrier to strategy implementation is the organisation’s structure. If the structure is not aligned to the strategy it can negatively impact strategy implementation. Mbaka and Mugambi (2014, p.64) further states that it is a “precursor to the successful implementation of new business strategies.” ‘Turnaround’ strategies may require the structure of the organisation to be transformed.

Effective strategies cascade effortlessly within the organisation, both vertically as well as horizontally, and allow the strategy, along with its key initiatives, to be implemented efficiently. Monitoring and evaluation

systems must be in place to control, measure and track the implementation of the strategy, in order to avoid deviations (Mbaka & Mugambi, 2014).

#### **2.6.1.4 Culture**

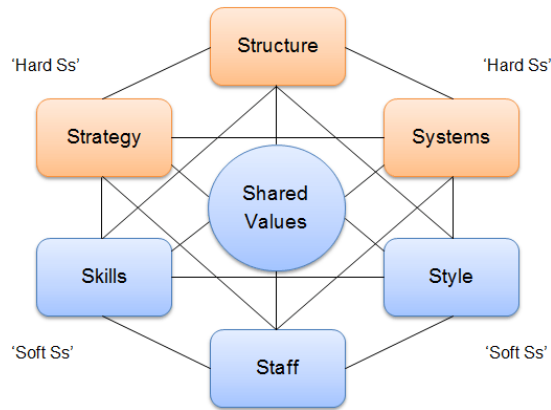
The culture of an organization plays a central role in strategy implementation, as it influences the opinions and behaviour of employees and how they respond to change and particular situations (Van Donselaar, 2012). Cultural attitudes can also be detrimental to the development of internal communication, strategic alignment and improved organisational performance. For the successful implementation of strategy, the beliefs and values of employees should not be in conflict with the considered strategy.

#### **2.6.1.5 Human resources**

The capabilities of an organisation's workforce play a critical role in the implementation of strategy. Successful implementation is dependent on the skills, experiences and attitudes of staff. Employees who are multi-talented, reliable and experienced are able to handle and adapt to rapid changes within the organization and can achieve performance targets with limited resources. "Successful strategy implementation is dependent on the human element of project management and less on organization and systems related factors" (Mbaka & Mugambi, 2014, p.64).

### **2.6.2 Successful strategy implementation**

The McKinsey 7S model of strategy implementation looks at seven internal factors that ensure the successful implementation of a strategy: strategy, structure, systems, shared values, style, staff and skills.



**Source: Jurevicius, 2013**

Strategy is the plan the organisation sets out to achieve and maintain. This plan transforms the organisation from its current position to its desired position (Singh, 2013) A sound strategy is one that is clearly articulated and aligned to the internal business processes (Jurevicius, 2013). The developers of the strategy must be critical and innovative in their thinking when designing the proposed strategy, in order to enhance organisational performance (Singh, 2013).

Structure represents the way an organisation's divisions and departments are organised and how activities are co-ordinated (Kaplan, 2005). The structure also defines the roles and responsibilities of the workforce. The organisational structure must be designed in a way that does not obstruct the flow of information (Singh, 2013).

Systems are the internal processes and procedures of the organisation that facilitate the day-to-day activities to achieve goals. Good systems are those which support the flow of communication and simplify the processes through the use of innovative techniques and new technologies (Singh, 2013).

Shared values comprise the organisation's belief system that steers and influences the way in which employees behave. This system forms the

bedrock of every organisation (Jurevicius, 2013; Kaplan, 2005; Singh, 2013).

Style represents the leadership's style of managing (Kaplan, 2005) and culture of interaction (Singh, 2013). Open and effective communication is a requirement for successful strategy implementation and a necessary trait for managers (Mbaka & Mugambi, 2014).

Staff represents the number of people that an organisation requires, as well as the staffing plans such as recruitment, selection, training, career guidance and development, promotion as well as incentives (Singh, 2013; Jurevicius, 2013; Kaplan, 2005). Staff need to be continuously engaged in an open environment facilitated by effective communication.

Skills refers to the abilities and competencies of the organisation's workforce to carry out the work, and is reflective of the organisation's performance. It is important for employees to be in possession of the right skills (Singh, 2013; Mbaka & Mugambi, 2014; Kaplan, 2005).

## **2.7 LEADERSHIP IN STRATEGY IMPLEMENTATION**

One of the most important and urgent challenges facing public organisations is improving performance in the public service (Andrews et al, 2011). Governments generally tend to respond to this challenge by developing policies that explain how the organisation will formulate and implement strategies to overcome the issues (Andrews et al, 2011).

Implementing strategy and the various reforms that go with it demands exceptional leadership. Often good strategies are unsuccessful as a result of the style of leadership being passive, and the workplace that is constantly changing and evolving which can often have adverse effects on the organisation's performance. Many good strategies fail due to a lack of

proactive leadership not having an active response to new strategic initiatives. Leaders are responsible for instilling drive and passion and providing the energy that an organisation needs to be effective. According to Meyer (2012, p.113), "Implementing strategy and the changes that go with it requires extraordinary leadership and good leaders are an intangible asset to an organisation".

The strategy formulation is less demanding and challenging than strategy implementation, and therefore requires specific and exceptional skills (Radomska, 2014). In addition to possessing a varied skill set that enables managers to effectively make accurate and strategic judgments, managers should be able to facilitate a broad dialogue on the details of the strategy in order to ensure that the activities are carried out consistently and timeously (Radomska, 2014; Getz & Lee, 2011).

Leadership plays an essential role in any organisation or group. People look to someone to enforce leadership by guiding them on what should be done. Effective leadership is necessary in assisting the organisation to formulate strategies needed to stay relevant. Effective leaders help the organisation structure approaches appropriately in order for the organisation to respond strategically and effectively. Effective leadership and strategy development are closely associated (Beerel, 2009).

When implementing a new strategy, the role of the leader is critical. According to Brinkschröder (2014), studies show that leaders very often have a considerable impact on performance. To them leadership is an individual ability to influence a group of people to achieve the goals of an organisation. It is the leader's job to ensure that the workforce of the organisation is dedicated to the strategy. The leader must be able to persuasively communicate the need for the strategy and how it will benefit them, so that they are able to fully embrace and support the new strategy.

Consistency of leadership is just as important as it allows employees to remain supportive to the strategy (Brinkschröder, 2014).

## **2.8 THEORETICAL FRAMEWORK**

A theoretical framework is the acknowledgement of theories that may help the researcher to inform or explain the phenomenon under investigation. It is important to understand the various leadership theories and this literature review will explore some of the most significant leadership theories.

The literature review will assess the relevance of the transformational leadership theory, servant leadership, strategic leadership theory, as well as the 20-60-20 theory. The researcher is aware that there are many theories on the discourse of leadership; however, for the purposes of this study the following were deemed relevant.

## **2.9 LEADERSHIP THEORIES**

### **2.9.1 Transformational Leadership**

Transformational leadership is a well-known and extensively researched subject in a variety of disciplines. Transformational leadership has been one of the most contested and examined theories within the field of leadership (McCleskey, 2014). Research on leadership in the past decade focused specifically on the theory of transformational leadership, which is perceived as perhaps the prevailing model of effective leadership (Joseph, 2011).

Transformational leadership is viewed as the most widely accepted leadership theory today (Carmichael et al, 2011) and has become an extremely popular topic of research during the past decades.

Transformational leadership can be defined as a process of facilitating change and inspiring followers to reach a higher level that they cannot reach on their own in order to better themselves and to support and promote the internal processes of the organisation (Koehler & Pankowski, 1997).

Mohammad, Al-Zeaud and Batayneh (2011) describe transformational leadership as the process of totally affecting and changing the individuals' mind-set, behaviours and values, and commitment of the individuals to the organisational tasks, objectives and strategies.

Transformational leadership originated from American historian James Macgregor Burns (Kolzow, 2014; Kimura, 2012), who emphasised the importance of this contemporary type of leadership. MacGregor defines transformational leadership as a process where leaders inspire and encourage followers through the vision they create. They are able to project that vision as fruitful and beneficial and are dedicated to developing relationships (Kolzow, 2014).

Kolzow (2014) explains that Bernard M. Bass further developed the concept of transformational leadership in 1985. In his definition of transformational leadership, the leader is one who has influence over his/her followers. Their followers trust, admire, are loyal to, and respect their leader. These outcomes occur because the transformational leader is not working for self-gain but is inspiring followers with a shared vision.

The goal of a transformational leader is to bring about permanent changes by transforming the minds and hearts of people and organisations; expanding vision, knowledge and understanding; clarifying roles and purposes; and ensuring that behaviour is harmonious with principles and values (Sahgal & Pathak, 2007). Similarly, "transformational leaders assist

and support their employees in achieving their goals, both personally as well as professionally” (Sow, 2016, p.239).

Transformation leadership is premised on three specific leadership behaviours: inspirational motivation, carrying out an exciting vision and providing support to subordinates. It is mainly focused on expressing high performance expectations through team effectiveness, aligning the goals of team members and instilling confidence in team members (Gundersen, Hellesoy & Raeder, 2012). Kimura (2012) found that in analysing a team’s performance, transformational leadership had a positive impact.

Burns defines a transformational leader as someone who is able to change the perspectives of their followers to buy into the relevance and importance of the vision and the coveted outcomes and approaches to achieving those outcomes (McCleskey, 2014).

A theory that has not only attracted many scholars, it also has a number of noteworthy advantages. To begin with, evidence shows that transformational leaders are the most successful forms of leadership (Lee, 2014; Suresh & Rajini, 2013) at the organisational level, industrial level and national level (Lee, 2014).

The ability to influence and motivate individuals, by changing their perspective, are noteworthy traits of a leader. If leaders are genuine, have good intentions, are honest and can present a case for change with enough passion to inspire people, they are more likely to obtain their support as opposed to having a communication style that lacks drive and enthusiasm (Carmichael et al, 2011).

Porter’s (2015) study on the relationship between transformational leadership and organizational commitment indicates that the theory of transformational leadership has preceded the notion that specific

behavioural traits, such as showing compassion towards one's followers, creating a vision and empowering followers, will surpass organisational tasks and motivate employees to aim higher, achieving more and increasing productivity.

With regard to revenue and client satisfaction, a number of studies have shown links between transformational leadership and improved organisational performance in terms of productivity (Lee, 2014, as cited in Howell & Avolio, 1993). Further research confirms the positive link with organisational innovation, job satisfaction and staff retention (Lee, 2014).

Mendes and Stander (2011) suggests that the traits of a leader influence organisational outcome and employee performance, including employee engagement and turnover. Employees who are thoroughly engaged clearly understand the organisational framework and work well with co-workers to improve performance within their line of duty for the benefit of the organisation. Moreover, when employees are fully engaged they are less likely to leave the organisation.

Effective leadership is critical to the retention of employees because it is the leader who has an influence on job satisfaction and performance. As explained, leaders shape the attitudes and behaviour of their employees. Thus the relationship between a leaders and his/her followers is influential (Sow, 2016).

Despite studies that have recognised advantages of transformational leadership for organisations, a number of researchers have highlighted the shortcomings of transformational leadership. McCleskey (2014, p.120, as cited in Yukl, 1999) acknowledges the criticisms of this theory for its "lack of information on the impact of situational and context variables on leadership effectiveness."

Odumeru and Ifeanyi (2013) further expands on Yukl's (1999) criticism of transformational leadership by stating that the theory does not adequately explain the interacting variables linking transformational leadership and positive work effects.

According to Carmichael et al (2011, p.127), "too much emphasis is placed on style rather than substance. With the growing demand for 'evidence-based' decision-making, leaders and managers need to cite hard evidence with solid facts to back up their arguments."

Suresh and Rajini (2013) states that transformational leadership is a combination of a range of leadership theories, therefore it becomes difficult to be trained or taught. There is a lack of clarity as to what the leaders actually do to influence the behaviour of their followers. Lastly, it makes the assumption that leadership processes and outcomes in essence remain the same in all situations. Odumeru and Ifeanyi (2013) further discredits the theory for failing to provide scenarios where transformational leadership is detrimental.

Despite the above criticisms of transformational leadership, it is a popular theory of leadership studies, and evidence has shown that transformational leadership is strongly linked with the workforce of an organization, and how they achieve their outcomes which includes higher levels of output, employee satisfaction, lower turnover rates, and innovation (Odumeru & Ifeanyi, 2013).

Transformational leadership is relevant as it shows that managers in various environments are considered as more effective, high performers, more promotable than their transactional counterparts, and more interpersonally conscious. A study by the Canadian Research and Development Centre of Sciences and Cultures on the influence of transformational leadership on work attitudes revealed that

transformational leadership played a role in the process of self-adjustment (Bo, 2014). Meyer (2012, p.115) adds that, “When an organisation or part of an organisation needs to reinvent itself due to a change in strategy or because it has ‘fallen asleep’, transformational leadership is essential. It is by definition about leading change”.

### **2.9.2 Servant leadership**

The role of leadership is central to ensuring high performance organisations and similarly the commitment of the workforce is equally important. One of the modern leadership styles that enable effective organisational performance as well as enhancing employee commitment to the organisation is servant leadership. The philosopher Robert K. Greenleaf first coined servant leadership in his 1970 essay titled “*The Servant as Leader.*”

Servant leadership promotes a humble, value-driven and ethical move towards leadership that reflects a more spiritual leadership style, as opposed to political or organisational leadership. Servant leadership has some similarities with transformational leadership in that a servant leader displays sensitive and ethical concern for the followers. Servant leadership is known to be focused mainly on the welfare of others. Servant leaders have a natural desire to serve and are attentive to the needs of others. Their aim in serving others is that their followers become healthier, wiser and more independent (Beerel, 2009).

According to Olesia, Namusonge and Iravo (2013), the main objective of a servant leader is to serve others, which in essence should be the main driving force for leadership. Servant leadership empowers people by equipping them with the necessary tools needed to succeed. Additionally, servant leadership believes that in order to achieve long term goals,

individuals within an organisation must first be developed, groomed and nurtured for success. The true test of a leader is witnessed in the development of their subordinates and whether their whole well-being has improved so much that they themselves are able to serve others (Olesia et al, 2013).

The primary role of a servant leader is creating a vision for the future of the organisation that aligns with stakeholder needs and goals (Johnson, 2014). People need to know what the bigger picture is in order to understand what their role is and what is required of them. It is the leader's responsibility to facilitate and create an environment in which ideas can be shared, in order to foster a shared vision that everyone understands and is dedicated to. An essential characteristic of servant leadership is service, which has been said to be the trademark of servant leaders. They lead based on the interests of others, as opposed to their own interests, and model service, which in turn cultivates a culture of service within an organisation (Olesia et al, 2013).

Within the public sector, servant leaders are able to transform various plans into a collaborative venture for good. Servant leaders are the backbone of the organisation as the success of the organisation is dependent upon the individuals who are steered by the servant leaders. They push the individuals forward, thereby pushing the organisation forward. Servant leaders operate in the background, which provides them with the opportunity to step back to view the overall organisation, as well as step in when necessary (Berryman, n.d.).

Servant leaders exercise foresight, which "... requires the use of information and instinct to spot new trends and events that can have an effect on the future. A leader who fails to exercise foresight may not succeed in adapting to change, and may get his/her organisation into trouble, disappointing many people along the way" (Keith, 2014, p.3).

Greenleaf further highlights the importance of foresight as central to the continued existence of the organisation and its ability to meet its obligations. Servant leaders help people to grow. In almost every organisation today, human capital is the most important resource. The growth of an individual within an organisation increases their capacity, which in turn increases the capacity of the organisation, which further leads to better services to customers (Keith, 2014).

Although there are merits to servant leadership, some authors argue that there is no empirical evidence to support the notion that applying servant leadership can lead to increased organisational performance (De Waal & Sivro, 2012).

Despite the criticism of servant leadership, there have been numerous studies by various authors such as Ding, Lu, Song and Lu (2012), who demonstrate that servant leadership is significantly positive and contributes to greater employee loyalty.

### **2.9.3 Strategic leadership**

Strategic leadership is a challenge that many organisations encounter today. Over the past few years, the value of strategic leadership in organisations has gained a considerable amount of attention. Previous studies of leadership by scholars such as Kotter (2001) have focused on what strategic leaders actually do in their daily operations, thus focusing on the effectiveness of an individual. However, over the past 20 years, the discipline of strategic leadership and management has become more concerned with senior managers and their influence on strategy formulation and organisational performance (Lear, 2013).

Bass identifies a successful strategic leadership style as a combination of three different individual skills and abilities, which are the ability to create a unique and innovative vision, commitment and focus, and lastly effective implementation (Carmichael et al., 2011). Devenish (2007) and Hitt and Ireland (2002) have examined the subject of organisational performance. Devenish (2007, p.2) suggests that, "performance is linked to the strength of a company's corporate culture." Hitt and Ireland (2002) notes that it is the responsibility of top management to assess and shape the conditions of the organisation's current performance in order to guarantee the organisation's survival as it continues to improve its performance over time.

Interest in the field of strategic leadership of organisations is on the rise. The study of strategic leadership focuses on top-level managers who are responsible for an organisation. It is through the leadership of the organisation that strategic decisions are made regarding the strategies they endeavour to adopt in order to enhance their competitive advantage (O'Reilly, Caldwell, Chatman, Lapiz & Self, 2010).

The effectiveness of a leader or the leadership of an organisation is most visible when an organisation decides to change its strategy, as is the case with the DHA. The organisational strategy is a concept that aims to address the mission, vision and objectives of the organisation, emanating from public values, and the challenges of administration and operationalisation of the organisation in achieving set objectives (Cloete & De Coning, 2011).

For the senior leadership to effect organisational performance, lower level managers and employees must be committed when a new strategy is implemented. This will allow them to support and embrace the new strategy. When a new strategic initiative is implemented, leaders at subordinate levels must support the change by reinforcing it, through the

allocation of resources, effectively dealing with opposition to it, and reinforcing in the workforce that the new initiative is essential to the organisation (O'Reilly et al., 2010).

In a study of more than 200 senior leaders, O'Reilly et al (2010) reports that the level of support among employees for the strategy was an important determinant of the organisation's performance. Other studies have shown that the level of support within the top leadership team about the strategy can also facilitate or obstruct its execution. This implies that in order for an organisation to achieve high performance from a strategic initiative requires that both senior and subordinate leaders successfully communicate the strategy and take the appropriate actions to ensure its implementation. Implementation is in jeopardy if subordinate leaders are not devoted to the strategy (O'Reilly et al., 2010).

According to Lear (2012), defining strategic leadership is not an easy task due to the scope of strategic leadership which is broad and complex. A strategy is an outline, whereas strategic leadership is about reasoning and decision-making which is required to develop and achieve the plan. Strategic leadership means "the ability to predict and foresee the future, maintain flexibility, think strategically and initiate changes that will create a competitive advantage for the organisation in the future" (Lear, 2012, p.21).

Strategic leaders are able to influence others to willingly make daily decisions based on enhancing the future viability of the organisation, while similarly maintaining its short-term financial stability in the present (Lear, 2012). Lear (2012) further cites Serfontein's (2009) view that strategic leadership assumes visionary and managerial leadership qualities. "As a visionary, a leader involves stakeholders in the process of future thinking" (Johnson, 2014, p.649). A strategic leader formulates and implements

strategies for impact and the preservation of future goals in order to enhance growth and opportunities. They have high expectations of the performance they expect to see (Lear, 2012).

In strategic leadership, leaders seek to enhance the sustainability of an organisation. According to Redmund (n.d.) strategic leadership is the ability to exercise foresight, maintain flexibility, and enable others to create change when required. When the DHA implemented its turnaround strategy, it brought in technical experts who made radical changes to the department by creating a more efficient, customer-friendly organisation that is able to deliver services to the people.

Steve Stumpf and Thomas Mullen (1991) have written extensively on the subject of strategic leadership. In their article "*Strategic Leadership: Concepts, Skills, Style and Process*", they identify elements frequently linked to leadership effectiveness and which of those elements impacted the organisations the most when run by the managers in their study. These elements include behaving and thinking strategically; an individual's style of leading and its impact on followers; and being knowledgeable on the nature of the strategic management processes.

There is merit in the strategic leadership theory as studies have shown the link between strategic leadership values and organisational effectiveness (Carter & Greer, 2013).

O'Reilly et al (2010) criticises the theory for its focus on top-level management only. They emphasise the importance of including leaders at different levels within the organisation. O'Reilly et al (2010, as cited in Berson & Avolia, 2004) further argues that the actions of top-level leaders impact the ways in which lower level leaders interpret and share information for a new strategy. Thus, it is evident that leaders at various levels within the organisation influence strategic initiatives and the

implementation of such initiatives. Moreover, the manner in which leaders are positioned across the hierarchical levels within the organisation may either improve or stifle the implementation of a strategic initiative.

Public policy implementation is a crucial and dynamic process where the management skills and knowledge of public officials are put to the test. Subsequently, public officials are responsible for the improvement, failure or success of policy implementation. They must ensure that people with the appropriate skills are employed to implement relevant policies. Moreover, these people must be guided to ensure that they deliver on what is expected of them (Mfene, 2008).

A review of literature by Azhar, Ikram, Rashid and Saqib (2012) and Jooste and Fourie (2009) reveals that strategy implementation is a key component of the strategic management process, an ongoing process in which managers create a set of strategic initiatives for the organisation in an effort to achieve improved performance.

Although strategy formulation has a positive effect on strategy implementation, research has supported the link between strategy implementation and improved organisational performance (Isaac, Masoud, Samad & Abdullah, 2016). "A lack of leadership, especially by senior management, has been identified as one of the impediments to effective strategy implementation. Moreover, leadership is the thrust of effective strategy implementation" (Jooste & Fourie, 2009, p.51).

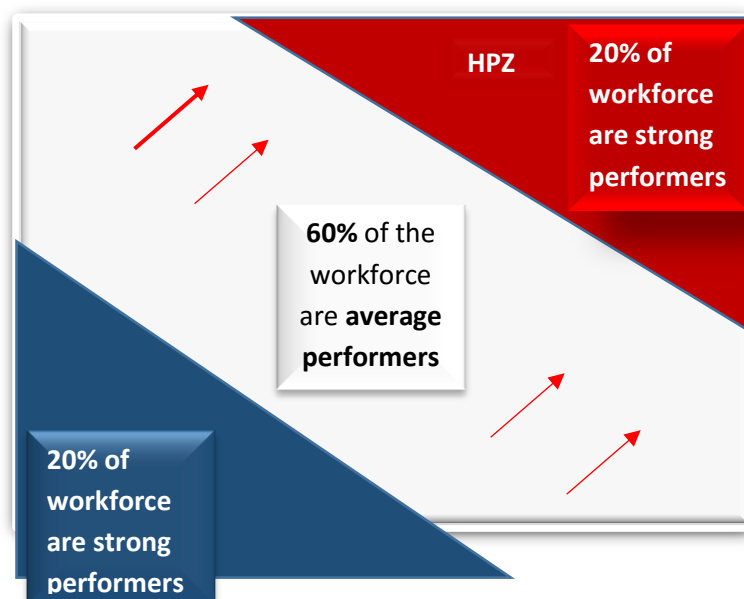
Azhar et al (2012) provides an analogy of leadership as the soul of the organisation and strategy implementation as the body, and the link between the two is crucial for effective implementation of strategy. Exceptional strategies are rendered pointless if they cannot be correctly implemented.

Maintaining high standards of service, especially in the front line offices, is still a challenge for the department and relies on its officials at all levels to steer and drive the strategy. With effective leadership, good performance in the workplace can be achieved.

## 2.10 CONCEPTUAL FRAMEWORK

A conceptual framework is an illustration of the main components of the issue under study, showing their connections or linkages. It endeavours to establish a common understanding of which issues should be incorporated in an assessment.

The conceptual framework for this study is premised on the 20-60-20 theory by Anunzio (2001) which will be used to guide the research. This theory is premised on creating and sustaining high performance and the need to foster an environment of speed. The theory splits up the workforce of the organisation into three groups based on a notion of effectiveness, and more specifically high performance in carrying out daily tasks, which leads to increased organisational effectiveness. The theory suggests that 20 percent of employees are strong performers, 60 percent are average and 20 percent are weak.



**Source: Anunzio (2001)**

It further focuses on creating a workplace where a change in behaviour is achieved and includes vigorously managing the weakest employees in order to get them into the high performance zone. Creating and sustaining a high performance organisation relies on the improvement in the quality of management in order to achieve better results.

Jaworski and Pitera (2012) examine this theory with reference to adapting to change. If an organisation decides to make substantial changes, “then on average 20% of the workforce will be ready, willing and able to change, while 20% of people would not accept the change, whatever the cost. The middle 60% will wait to see how the situation turns out”.

The theory is supported by Jaworski and Pitera (2012) for being able to apply different approaches to handling the efficiency of employees who are high, average and low performers. The theory is the most effective divider especially with regard to human resource management as well as performance management issues. In such cases the organisation should focus their attention on the average 60%, as these employees need to be managed more efficiently.

Luna-Arocas and Camps (2007) designed a model based on three high performance work practices in an effort to clarify the relationship between human resource practices and staff retention. They showed the positive link between high performance work practices and an increase in organisational effectiveness. Organisations that created an environment in which staff became highly engaged and worked hard to

achieve the organisation's goals, essentially by increasing their staffs' commitment and job satisfaction, performed well.

Anunzio's theory is ideal as the guiding light of this study as it responds to the challenge of maintaining high standards of service delivery and promoting high performance, which is what the DHA is striving for. The theory is based on the need to review the culture of the organisation as well as fostering and facilitating an environment of speed which Anunzio (2001) refers to as e-leadership.

E-leadership as defined by Crawford-Mathis (2009) is, "a social influence process mediated by technology to produce a change in attitudes, feelings, thinking, behaviour, and/or performance with individuals, groups and/or organisations".

The process of transferring information into a digital format, otherwise referred to as digitisation, is rapidly changing the way people work and create value. Today human interactions occur through information technology and e-leadership is changing the way people interact. The everyday human interaction between leaders and their followers is now being mediated through information technology. The global leadership qualities considered essential for traditional forms of leadership are similarly applicable to e-leaders. Furthermore, e-leaders are not technology gurus but understand the effectiveness of technology (Mohammad, n.d.).

From the conceptual framework arose key concepts that will enable the researcher to communicate particular ideas and perspectives of the phenomenon or the topic under investigation. Concepts are "symbolic or abstract elements that represent a subject, or features of subjects, processes, or a phenomenon" (Berg, 2001, p.15). Important concepts to

understand include high performance zone, employee retention and high performance organisation.

## **2.11 RATIONALE FOR THEORY**

The 20-60-20 theory is recommended as it pays attention to the leadership style that centres on high performance. The objective of the study is to recommend a leadership style that will be of value to leaders at the DHA. The researcher was able to achieve this mission by employing the most suitable research methodology. The following chapter explains the research methods and techniques used to gather the data.

## **2.12 CONCLUSION**

This chapter provided literature on the study. It defined what a literature review is and explained its importance. It further defined what leadership and strategy implementation is and explained key concepts. It provided a theoretical framework explaining the various theories of leadership, and lastly provided a conceptual framework that guides the research.

The next chapter will focus on the research methodology used to gather data.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 INTRODUCTION**

Research methodology is the approach to systematic inquiry where assumptions about reality, knowledge as well as the theory and practice of the topic under investigation come together. It is the study of how research is carried out. Research methodology is in essence the measures through which researchers go about describing, explaining and predicting phenomena. It can further be defined as the study of procedures by which knowledge is acquired.

It is essential for a researcher to design a methodology for their selected study. Rajasekar, Philominathan and Chinnathambi (2013) highlights the importance of taking note of the fact that even if a particular method used in two studies is exactly the same, the methodology will be different. It is necessary for the researcher to know what method/s to utilise that are relevant to the study and will allow the researcher to answer the research questions posed.

It is not in the best interests of the researcher to only know the various techniques/methods in research and how to apply them. More importantly, researchers should have an understanding of the various methods available, and of these methods, which are relevant or irrelevant to the study, and furthermore what these methods would imply and illustrate and why. This highlights the significance of research methodology.

Research methodology has various facets and approaches that constitute a part of the research methodology. However, the range of research methodology is much broader, and therefore when selecting a particular

method the researcher needs to consider the logic behind that method in relation to their study, and explain why he/she will be using that particular method (Kothari, 2004).

The study of research methodology provides the researcher with the required skills for obtaining data and organising them, involvement in the field work when required, and the collection of relevant data, through the use of interviews, statistics, surveys, and questionnaires. The knowledge of methodology enables the researcher to develop disciplined thinking to observe the field without bias.

Consequently, it allows the researcher to make well-informed decisions relating to the challenges people are faced with at phases of their lives. Everyone, in some way, is a consumer of the research results obtained through research, and those results can be used wisely, provided it is possible to assess the adequacy of the methods by which they have been obtained. The understanding of methodology assists the end user of research results to assess them and enables him/her to take clear and rational decisions on that basis (Kothari, 2004).

### **3.2 APPROACHES TO RESEARCH (QUANTITATIVE AND QUALITATIVE)**

Qualitative research is situated in a particular research paradigm. Wagner et al. (2012, p.126) explains that, “A paradigm is like a lens through which we look; it is a set of assumptions or beliefs about fundamental aspects of reality which gives rise to a particular worldview. It focuses on fundamental statements or assumptions which are often based on beliefs”.

Paradigms describe perceptions about the world. The way in which people behave, as well the approach they choose to take as inquirers, cannot occur in the absence of those paradigms: Thoughts become actions.

Qualitative research is concerned with understanding the process and the social and cultural contexts which shape various behavioural patterns. It strives to create a coherent story as seen through the eyes of those who are part of that story, to understand and represent their experiences and actions as they encounter, engage with, and live through situations (Wagner et al., 2012).

According to Creswell (2003), the approach to qualitative research is one in which the researcher makes claims primarily rooted in perceptions and opinions. It employs techniques of inquiry such as case studies, grounded theory, ethnography, action research, phenomenology and narratives, to gather data with the objective of creating themes from the data gathered (Creswell, 2003).

By description, qualitative research is exploratory in nature. It is applied when there is uncertainty about the future, how to characterise the challenges, or where there is a lack of knowledge regarding why and how affected populations are impacted by those challenges. Similar to quantitative data, qualitative data is entrenched in empirical inquiry and data. However, qualitative research explores information from the perspective of both groups and individuals and produces case studies and synopsis as opposed to numerical data (University of Calicut, 2011).

Qualitative data is expressed through textual interpretations that describe and interpret the characteristics, attitudes, perceptions, opinions or intent. Conclusions derived from the data gathered are translated into informed statements about the meaning and experiences of certain groups of affected populations, in order to gain a deeper understanding of the individual's perspective (Wagner et al., 2012).

The main objectives for a researcher of qualitative study is to understand social processes. In qualitative research, the aim is to make in-depth

descriptions of people's behaviour and thinking (University of Calicut, 2011).

The most favourable advantage of qualitative research is its wealth and depth of knowledge in exploring and describing data. This translates into the researcher becoming the apparatus through which the data is gathered, analysed and interpreted (Wagner et al., 2012).

Qualitative research is a comprehensive approach to research that uncovers truth. Qualitative research can further be described as "an unfolding model that occurs in a natural setting that enables the researcher to develop a level of detail from high involvement in the actual experiences" (Williams, 2007, p.67).

When applying qualitative research, the researcher seeks to gain vital information from the participant's point of view. Qualitative research techniques can be applied in various research designs to structure the approach. Therefore, the various techniques have a powerful impact on the strategies that will be explored. (Williams, 2007).

What represents qualitative research involves predetermined use for describing, explaining and understanding collected data. Williams (2007; Leedy & Ormrod, 2001) claims that qualitative research is less structured in description since it creates and constructs new theories. Qualitative research can also be described as an effective model that occurs in a natural setting that enables the researcher to develop a level of detail from being highly involved in the actual experiences (Creswell, 2003).

"Qualitative research is carried out within a post-structuralist model. There are several methods for conducting qualitative research: case study, ethnography study, phenomenological study, grounded theory study, and content analysis." Inductive reasoning is the

bedrock on which these methods are employed. Inductive reasoning is generally associated with qualitative research whilst deductive approaches are more commonly associated with quantitative research. Inductive reasoning is the approach in which the researcher uses observations to describe the phenomenon under study. It is through this approach that research questions are derived to narrow the scope of the study and theories are generated from the emerging data (Williams, 2007, p.67).

Qualitative research focuses on phenomena that take place in real-life settings, and seeks to capture and examine the complexities of those phenomena. It is about studying the many dimensions and layers of the topic under study, and attempting to accurately portraying it in its multi-faceted form (Leedy & Ormrod, 2014).

Qualitative research is particularly important in the behavioural sciences where the purpose is to discover the fundamental motives of human behaviour. "Through qualitative research one can analyse the various factors which motivate people to act in a particular manner or make people like or dislike a particular thing" (Kothari, 2001, p.3).

According to Kumar (2001), the main focus in qualitative research is to understand, explain, explore, discover and clarify situations, feelings, perceptions, attitudes, values, beliefs and experiences of a group of people.

The advantage of using qualitative research is that it allows the inquirer to obtain in-depth information on a wide range of topics. Subsequently qualitative research provides greater opportunity in choosing one's topic of interest because other research methods may be limited by "the failure to create the required research conditions; lack of sufficient data; the

complexity portraying a satisfactory sample of respondents and obtaining a satisfactorily high response rate in a questionnaire or survey for example” (Yin, 2011, p.6).

Qualitative research is about studying how people live their lives in real-life settings. It looks at how people perform in their everyday roles or how they express themselves, for example through writing or photography. It is the approach the researcher takes in interpreting their social world, and is concerned with the generation of new theories from the emerging data (Bryman, 2016).

Secondly, qualitative research is about capturing the perspectives that arise from real-life events by the people who live them, not the inquirers’ ideals and perceptions.

Thirdly, qualitative research covers “the social, institutional and environmental conditions within which people’s lives take place. In many ways, these contextual conditions may strongly influence all human events” (Yin, 2011, p.8).

Fourth, it is important to note that qualitative research is not the routine account of real-life events but is motivated by a need to explain those events, through existing concepts or concepts that are transpiring (Yin, 2011).

Quantitative research, on the other hand, is an approach in which the researcher employs an experimental strategy of inquiry such as testing variables and hypotheses. “It uses techniques such as experiments and surveys, and gathers information on set instruments that yield statistical data” (Creswell, 2003, p.18).

Quantitative research, to a large extent, adopts natural science experiments as the mode for scientific research, and its main characteristics are applying consistent methods to collect data; explaining causal relationships between variables; and testing hypotheses or theory (University of Calicut, 2011).

The aim of the quantitative research is to test pre-determined hypotheses. Using statistical methods, the findings of quantitative analysis can verify or disprove hypotheses. Since quantitative data is numeric, the collection and analysis of data from representative samples is more commonly used. In its simplest terms, the more representative the sample is, the more likely it is that a quantitative analysis will accurately and precisely reflect a picture of the results (University of Calicut, 2011).

The methodology of quantitative research was first discovered in 1250 A.D. and was driven by the need to quantify data. "Since then quantitative research has dominated the western cultural as the research method to create meaning and new knowledge. What constitutes a quantitative research method involves a numeric or statistical approach to research design" (Williams, 2007, p.66).

Williams (2007, as cited in Leedy & Ormrod, 2001) highlights that quantitative research is meticulous in its surveying and conducting tests, as it builds upon existing theories. Quantitative research starts with a problem statement in which a research hypothesis is formulated, a literature review is developed, and an analysis of data is conducted. Experimental research and set tools such as surveys and questionnaires are some of the techniques of inquiry utilised in quantitative research, and gathers numerical or measurable data to produce statistical models and figures in an attempt to explain or verify what is observed. The findings gathered from quantitative research can be interpretive, explanatory and confirming.

Quantitative research involves testing theories by gathering data so that information can be quantified and analysed using statistical procedures in order to support or contest alternative explanations (Creswell, 2003). Quantitative research arose from the physical sciences. The researcher makes use of mathematical tools to analyse data.

Measurement is a unique step in the research process which occurs before data is gathered. Quantitative research has a distinctive terminology and set of tools, as the aim is to accurately capture and obtain information from the social world and the findings are revealed in numbers (Neuman, 2014).

Quantitative research designs are accurate, consistent and well planned, have been tested for their validity and reliability, and can be clearly defined and acknowledged. The research designs in qualitative research either do not have the above-mentioned attributes or have a few of them. Moreover, in quantitative research, the quantification and categorization of the information gathered demands that the research designs are well structured, fixed and pre-set in their use to ensure accuracy in measurement (Kumar, 2011).

### **3.3 RESEARCH DESIGN**

The research design is like an architectural plan. The design informs the researcher on how to conduct the study: for example, which methodology is appropriate (qualitative or quantitative); the method of data collection (e.g. interviews, surveys, focus groups, questionnaires or experiments); and techniques for analysing the data (Wagner et al., 2012).

Research designs are logical blueprints. The designs are logical as there are links between the research questions, the data to be gathered, and the

approaches for analysing the data—so that the research findings address the research questions. The design also helps to support and improve the validity of the research as well as its accuracy (Yin, 2011).

Traditionally, a research design is an outline of how the research is to be undertaken by the investigator. It involves deciding on the interest of study and picking a sample from that study, arranging the variables to be measured, gathering data to be used as a foundation for hypothesis testing, and analyzing the findings (Kumar, 2011).

A research design provides a framework that assists the researcher to obtain answers to the research questions, as well as to accurately analyse the data gathered (Bryman, 2016). The research design provides a sketch of what the researcher will do from formulating the hypotheses to analyzing the data (Kumar, 2011).

Through a research design the researcher communicates to the reader his/her decisions to frame the research, how to gather data from respondents, how he/she will be selecting the respondents, how the data will be analysed and how the findings will be communicated. It is important for the researcher to ensure that the route he/she has proposed will produce valid and reliable results (Kumar, 2011).

Research designs can be categorised into two groups – positivist and interpretive. Positivist designs test theories, whereas interpretive designs build theories. Positivist designs search for generalised patterns based on an impartial view of reality, whilst interpretive designs search for skewed interpretations of social phenomena from the perceptions of the subjects involved. Some popular examples of positivist designs include experiments, field surveys, secondary data analysis, and case research, while examples of interpretive designs include case research, phenomenology, and ethnography (Bhattacharjee, 2012).

Experimental research is done to test cause-effect relationships (hypotheses) in a tightly controlled environment by separating the cause from the effect in time. In other words, it shows that an event or condition X (independent variable) can cause or alter event or condition Y (dependent variable) (Bhattacharjee, 2012; Wagner et al., 2012).

Field surveys gather pieces of information on the practices, beliefs or situations from a random sample of subjects in field settings through a survey questionnaire or interviews, which gives an understanding of that situation at a particular time (Bhattacharjee, 2012).

Secondary data analysis is an examination of data that has previously been gathered and recorded by other sources. Such data may consist of data from government agencies such as Statistics South Africa (StatsSA) (Bhattacharjee, 2012).

Phenomenology is an analysis of the experiences of individuals within a particular phenomenon (Wagner et al., 2012). It is a thorough investigation of a problem in real-life settings over a period of time. Data may be collected interviews or observations, (Bhattacharjee, 2012). According to Creswell (2003) phenomenology is the process where the researcher identifies the human experiences relating to a particular phenomenon. The emphasis is on how people perceive their experiences.

Ethnography on the other hand is an interpretive research design that generally occurs in anthropology and sociology studies. The researcher studies a cultural group in a natural setting over an extended period of time. The researcher is totally immersed in a certain culture over a prolonged period of time (4 months to 2 years), where he/she engages, observes and records the daily life of the studied culture. Data gathered is primarily observational, but may also include formal and informal

interaction with participants in that culture, as well as personal field notes (Bhattacharjee, 2012; Creswell, 2003; Wagner et al., 2012).

Yin (1994, p.19) refers to the research design as a “chain that connects the empirical data to a study's initial research questions and, ultimately, to its conclusions.” A research design is a plan of action that outlines how the researcher will get from one point to another through the collection and analysis of relevant data. The primary purpose of the research design is to help ensure that the data gathered addresses the research questions.

The research design is intended to structure the study under investigation in a manner in which the eventual validity of the findings the research provides is maximised (Mouton & Marais, 1995).

An exploratory case study method will be utilised for this study as it will allow the researcher to concentrate on issues that are fundamental in understanding the role of leadership in strategy implementation and its impact on organisational performance. It addresses the knowledge gap, recognises the problem to be studied, and identifies opinions or practices related to the subject area.

Exploratory research identifies the research problem, sheds light on the nature of the problem, which leads to understanding, and further develops the scope of research (Mouton & Marais, 1995). This method is ideal for the study as it requires a comprehensive and in-depth investigation into the leadership challenges in the implementation of strategies within the public sphere and offers a better understanding of these issues.

The application of an exploratory case study arose as a result of the leadership deficits and dynamics within the DHA that hinders the effective implementation of strategy and therefore further impacting the performance of the organisation.

Creswell (2003, p. 15) defines a case study as being where a “researcher explores in depth a programme, an event, an activity, a process, or one or more individuals.” Case studies seek to know about less known or misunderstood situations, and can be applied to various disciplines such as political science or medical research.

Bryman (2016) states that a case study is the detailed and thorough analysis of a single case. Case study research is concerned with examining the complexities and dispositions of the case that is to be studied. According to Williams (2007, p.68), “The data collection for a case study is wide and selected from various sources such as direct or participant observations, interviews, archival records or documents, physical artifacts, and audiovisual materials.” It is important for the researcher to spend time in the field interacting with the participants being studied. Case studies help reveal the patterns uncovered within the study or lessons learned that may or may not be connected to existing theories.

Yazan (2015, p.139) defines a qualitative case study as “an intensive, holistic description and analysis of a bounded phenomenon such as a programme, an institution, a person, a process, or a social unit.” To put it simply, a case study explores an individual, group or phenomenon (Starman, 2013).

Case study research is beneficial when wanting to learn more about a phenomenon or situation that is poorly understood. It is suitable for investigating how a person or group of people, a project, social movements or institutions transform over time, possibly as a result of certain interventions (Leedy & Ormrod, 2014).

Moreover, the exploratory case study will allow the researcher to interpret the data by developing conceptual categories that either support or

challenge the assumptions made concerning them (Zainal, 2007). The case study provides an in-depth study of the organisation and its processes. It investigates a phenomenon in its real-life context (Yin, 1994). Data collected is primarily through the use of semi-structured interviews.

Lastly, the case study method will allow the researcher to uncover detailed information about the topic under investigation from the experiences and views from a variety of participants. Leadership is the thrust for effective strategy implementation. A lack of leadership by the top management is highlighted as one of the major barriers to effective strategy implementation. The performance of the DHA is hindered by systems, business processes, external and internal communication at all levels, funding and legislation.

This method moreover, allows the researcher to employ triangulation, which refers to the use of a range of sources of data, namely analysis of official and annual reports, as well as semi-structured interviews held with strategically selected informants.

According to Zainal (2007, p.5), “a common criticism of case study method is that it’s dependent on a single case” therefore one cannot generalise from a single case. The researcher is aware of the scepticism towards case study design; however, for the purpose of this study the case study method was suitable as it offers better insight into the phenomenon than other approaches (Rowley, 2002).

### **3.4 DATA COLLECTION**

The researcher will use interviews to collect data from respondents. Face-to-face interviews allow for the researcher to obtain in-depth and holistic data (Wagner et al., 2012). Semi-structured interview, otherwise referred to as the semi-standardised interview by some scholars, is the preferred

method for this study as it allows the researcher to clarify responses by probing further beyond the answers (Berg, 2001). This approach allows the researcher to establish the roles played by the participants within the DHA.

The study covered a wide range of people who play a key role in strategy implementation and organisational performance. The study interviewed public servants who have direct or indirect contact with customers. The researcher interviewed frontline staff of the Randburg office as well as the Supervisors and the Office Manager. The researcher further interviewed the District Manager of operations and the Provincial Manager.

As part of this study the researcher explored how officials formulate and implement strategy in order to maintain quality standards for effective service delivery. Moreover, the study explores how the leadership is driving strategy to maintain consistently high standards of front office service delivery. Therefore the researcher interviewed two employees at middle management level, the District Manager of the Johannesburg region and the Provincial Manager for Gauteng, as well three employees at senior management level, such as Directors and Chief Directors.

Documentary analysis was employed to collect data. Documentary analysis is “an integrated social research method that involves identifying, analysing and explaining data gathered from the examination of documents relevant to a particular study” (Wagner et al., 2012, p.141). Document analysis is a systematic process for assessing and evaluating documents—both printed and electronic material. Examining and interpreting the data allows the researcher to extract meaning, gain understanding, and create knowledge (Bowen, 2009).

The analytic process of documentary analysis is about synthesizing the data contained in documents. “Document analysis produces data, such as

extract, or passages, that are then organised into key themes and categories through content analysis” (Bowen, 2009, p.27).

As a research method, document analysis complements qualitative case studies well as they yield rich descriptions of a single event, activity, phenomenon, organisation, or programme (Bowen 2009; Yin, 1994). In addition, documents can help the researcher uncover truths, develop understanding, and reveal insights pertaining to the research problem (Bowen, 2009).

Ahmed (2010, p.2) defines documentary analysis as “the analysis of documents that contain information about the phenomenon under study. It is used in examining and categorising physical sources, usually written documents, whether in the private or public domain”.

Since its origin, documentary analysis has been a staple of social research. Documents provide a “rich vein for analysis” (Ahmed, 2010), and has been the most widely used method throughout the history of social sciences.

### **3.5 DATA ANALYSIS**

Data analysis is an important component of qualitative research and allows the researcher to transform the data collected into findings. A thematic analysis will be applied for the purpose of this study, in order to make sense of the extensive raw data generated from the data collected. Thematic analysis allows the researcher to reduce the volume of data by identifying significant patterns and themes in the data (Patton, 2002; Wagner, et al., 2012).

### **3.6 DATA PRESENTATION**

Data will be presented based on the themes that will be identified from the research conducted. Themes will be identified after categorisation, synthesis and codification through a thematic analysis as stated above. The data presented will respond to the research questions used to gather data. The themes will be based on the narratives of what the respondents said as this is the content that informs the patterns of evidence. The themes will be categorised according to strategy implementation, leadership and service delivery in the DHA.

### **3.7 RELIABILITY AND VALIDITY**

Reliability and validity are important tools used in social research, because it is in these two tools that the objectivity and credibility of the study lies. Wagner et al (2012, p.80) defines reliability as “the degree to which an instrument measures a construct the same way each time it is used under the same conditions with the same respondents, thus it is concerned with the consistency of the research.”

Reliability is concerned with whether the results of the study are repeatable and consistent (Bryman, 2016) if the study were to be done again under identical conditions (Neuman, 2014).

Validity is concerned with the trustworthiness and credibility of the research in terms of how the researcher is measuring what he/she is supposed to measuring (Wagner et al., 2012). Silverman (2004) takes it further by highlighting that it is the interpretation of the researcher’s observations. The purpose of validity is to test how relevant the study is and its actual reality. It interrogates how well a researcher is able to measure social reality (Neuman, 2014).

The research will make use of two measures for validity and reliability. The first measure that will be used is interpretive validity. This refers to the

accuracy in reporting the viewpoints of the research participants, and how well they are portrayed. This will be useful in understanding the role of leadership and strategy implementation and its impact on service delivery in the DHA from the perspective of the research participants. The second measure of reliability will be tested through the use of triangulation. Triangulation is a process that employs strategies to ensure that the research findings are credible and reliable (Wagner et al., 2012). This process weighs the information gathered from documents, interviews and observations against each other.

### **3.8 SIGNIFICANCE OF THE STUDY**

The study is expected to gain a deep understanding of the critical leadership challenges in strategy implementation in the DHA. The study will assist policy makers and key stakeholders to recognise and address challenges. The study will furthermore assist in sharing experiences amongst the various regional offices.

### **3.9 LIMITATIONS OF THE STUDY**

The study is limited to the Randburg medium office within the Johannesburg region of the Department of Home Affairs and thus cannot be generalised beyond that office. The participants were not randomly selected, therefore the results cannot be referred to the entire population.

### **3.10 ETHICAL CONSIDERATIONS**

Ethics should be taken into account throughout the study, more especially in the design and implementation of the research. The study will conform to ethical principles that promote informed consent and confidentiality. Informed consent allows the individual to agree (or not) to participate in

the study having being briefed about the proposed research process and consequences (Berg, 2001; Wagner et al., 2012).

Confidentiality seeks to remove any elements that might reveal the identities of the participants from the research (Berg, 2001). The researcher will describe and quote the participants in a manner that ensures that their confidentiality is protected. Furthermore, the researcher will apply the university ethics protocols in dealing with ethical considerations.

### **3.11 CONCLUSION**

The research methodology provided the rationale for the research and the methods applied during the study. The researcher employed a qualitative research method.

A case study design was applied, which allowed the researcher to concentrate on issues that are fundamental in understanding the role of leadership in strategy implementation and its impact on organisational performance. This method allows for a holistic and in-depth investigation of a phenomenon.

Data was gathered using semi-structured interviews which became the primary source of data collection, and documentary analysis was used as secondary data to supplement the data gathered from the interviews. The ethical considerations were upheld during the collection as the researcher conformed to ethical principles that promote informed consent.

A thematic analysis will be applied in the analysis of data and will be presented based on the themes identified from the research.

## **CHAPTER 4**

### **PRESENTATION OF FINDINGS**

#### **4.1 INTRODUCTION**

This chapter presents detailed findings on the data collected from interviews, in an effort to gain an understanding of the leadership deficits within the Department of Home Affairs and its impact in the implementation of strategy. The data was gathered from respondents derived from in-depth interviews and relevant documents from the Department of Home Affairs. These respondents were public servants who have direct and indirect contact with the public.

#### **4.2. BACKGROUND OF THE RESPONDENTS**

The research was conducted at the Department of Home Affairs Randburg, in the Gauteng Province in South Africa. Data was gathered through in-depth face-to-face semi-structured interviews. A total of nine employees, three male and six female respondents, were interviewed. The data was collected from the Provincial Manager, the District Manager of Operations, the Office Manager of the Randburg office, 1 Senior Administrative Officer, 2 Chief Administrative Clerks, 2 Administrative Clerks, and 1 Control Immigration Officer. The ages of the respondents ranged from 38 to 57 years. Of the nine public servants interviewed, 1 was Caucasian, and the others (8) were Black. In terms of the education level of the respondents, 2 were in possession of post-graduate degrees. The interview guide was used and is attached in the report as Annexure A.

The data sought to investigate leadership deficits within the DHA and its impact on the implementation of strategy, in order to answer the research questions outlined in chapter one and presented below:

- What are the leadership challenges that hinder strategy implementation?
- What are the leadership trends in strategy implementation?
- What are the leadership strategies for consideration in the implementation of strategy in the DHA?

#### 4.2.1 Nature of research participants

**Table 1: Nature of Participants**

<b>Identification code</b>	<b>Position</b>	<b>Division</b>
PM	Provincial Manager	Civic Services
DMO	District Manager Operation	Civic Services
AD	Assistant Director: Office Manger	Civic Services
SAO	Senior Administrative Officer	Finance
CAC 1	Chief Administrative Clerk	Births, Marriages and Deaths
CAC 2	Chief Administrative Clerk	Smart cards and Passports
AC 1	Administrative Clerk	Smart cards and Passports
AC 2	Administrative Clerk	Smart cards and Passports
CIO	Control Immigration Officer	Immigration

### **4.3 PROFILE OF THE RESPONDENTS**

DHA public officials of various ranks within the organisation were interviewed to ensure unbiased information. The researcher conducted fieldwork at the Randburg office, a medium office that falls under the Johannesburg District, where 7 officials were interviewed. The researcher also conducted fieldwork at the District Management offices, where the District Manager of Operations was interviewed as well as the Provincial Management office where the Provincial Manager for Gauteng was interviewed.

#### **Chief Directorate: Provincial Manager**

The Provincial Manager for Gauteng is responsible for leading, directing and overseeing the quality of service and the effective delivery of Civic and Immigration Services at a Provincial level. Moreover, the Provincial Manager is responsible for monitoring and reporting on the performance of the Province. The Provincial Manager has been with the Department of Home Affairs for 12 years and has extensive experience in Immigration and Refugee services, and has been heading the department for the past four years. His experience and knowledge on the subject matter was valuable to the study.

#### **District Manager Operations**

The District Manager of Operations manages the operations of the Civic and Immigration Services in the District. The District Manager of Operations manages six local offices in the Johannesburg region and ensures that the issuing of enabling documents such as birth, marriages, and deaths, travel documents, IDs/Smart Cards are managed effectively. Additionally, the District Manager of Operations manages Immigration operations such as ports of entry, law enforcement, deportations and inspectorate functions. The DMO has over 20 years' experience in the DHA and has been the DMO for the past eleven years. Her extensive

experience in the field of operations management was useful to the study in terms of understanding the challenges on the ground that impact on strategy implementation.

#### **Assistant Director: Office Manager**

The Office Manager of the Randburg medium office is responsible for managing the operations within the office and overseeing the effective delivery of DHA products and services to members of the public. The office manager has 34 years' experience in the DHA and has 11 years in his current position. His knowledge and experience in operations management within a customer service environment, knowledge and understanding of the public service particularly within the realm of civic services, immigration and refugee management gave the researcher an understanding of the daily action plans for service delivery in the Office, what the service standards are and where bottlenecks occur.

#### **Senior Administrative Officer: Finance**

The Senior Administrative Officer for Finance ensures, amongst other things, that the revenue received, including daily reconciliation, is recorded, and deposited timeously. Additionally, the SAO must abide by the regulations of the National Treasury in ensuring that the invoices are paid within 30 days. Most importantly the SAO must identify fruitless, wasteful and irregular expenditure. The SAO for Finance has worked in the DHA for 23 years and has been in the current designation for 4 years. The interview with the SAO allowed the researcher to gain an understanding of how sound financial and revenue management within the Office aligns with the PFMA and Treasury Regulations, as well as how the office ensures the effective management of finances.

### **Chief Administrative Clerk: Births, Marriages & Deaths and Smart Cards and Passports**

The CACs are the direct point of contact for clients. They ensure that application processes are run smoothly and assist in resolving problems or complaints. Additionally, they assist clients in correctly completing their application forms and verifying that forms are properly filled in accordance with DHA standards. Moreover, they assist management with duties aimed at achieving client service excellence. The CAC of the Smart cards and Passports department as well as the Births, Marriages and Deaths department were interviewed. The interviews with the CACs yielded in-depth information on the daily operations of the local office and how they effectively supervise the daily operations within the front office, how applications are processed and verified, how services to clients and bottlenecks are monitored, how the performance of staff members is monitored, and how processes are executed according to standard operating procedures.

### **Administrative Clerks: Smart cards and Passports**

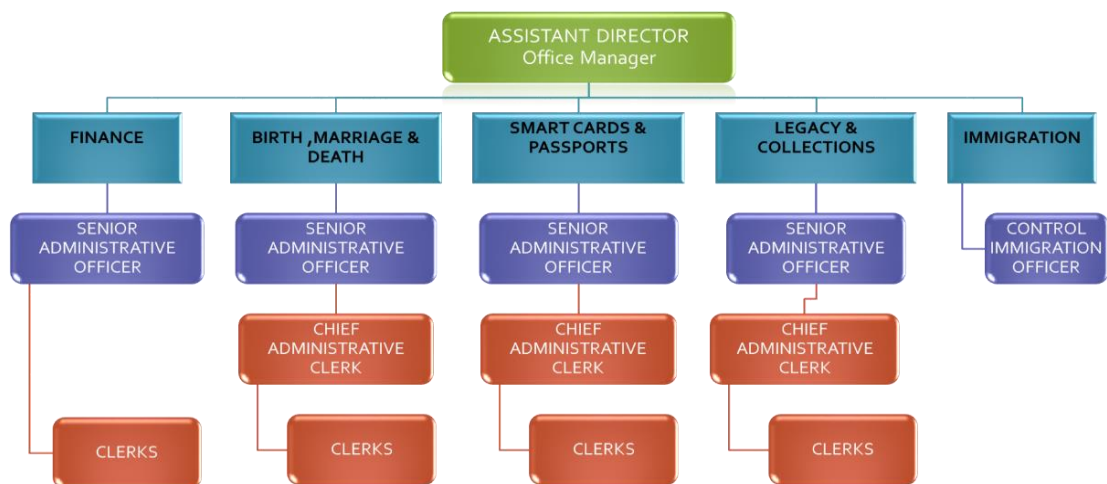
The administrative clerks also serve as direct points of contact for the public, and are responsible for, amongst others, executing civic services for front office as well as back office application processes. They assist clients in completing their application forms and verify that they are correctly filled in. Furthermore, they assist with the capturing of fingerprints and ensure that the process is executed effectively. The interviews with the ACs generated a great deal of useful information regarding the challenges they face daily and what is being done to address these issues.

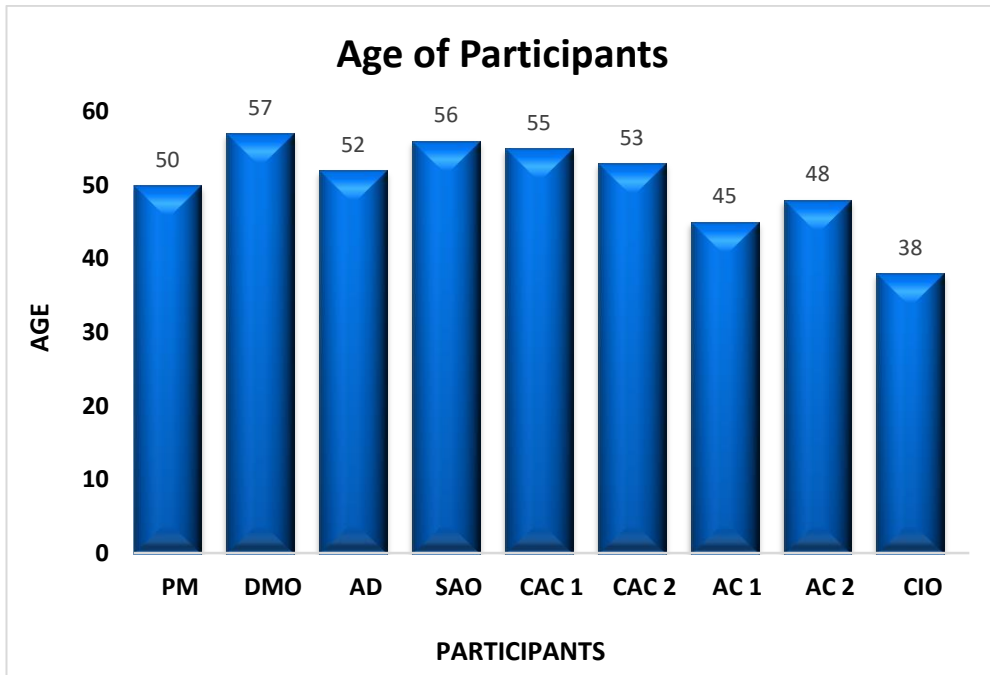
### **Control Immigration Officer**

With 3 years in the position of Control Immigration Officer, and 10 years in the Department, the CIO has gained extensive knowledge and experience in the enforcement environment. The interview generated data on how the

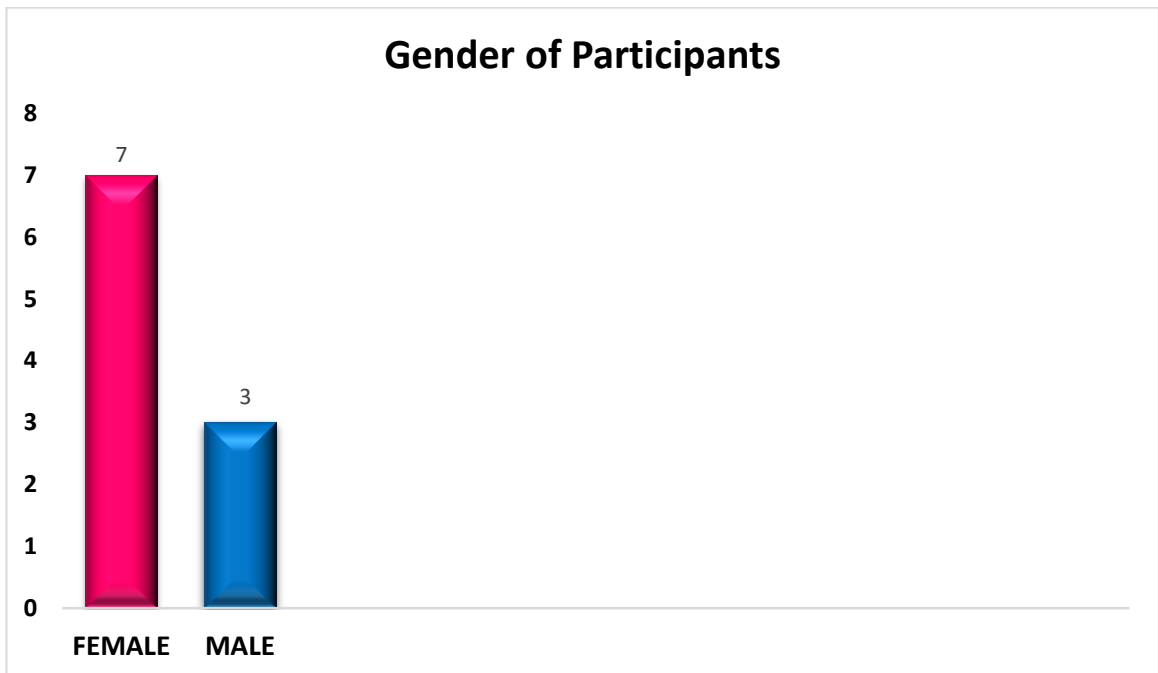
immigration unit investigates syndicates involved in convoluted crime that includes the smuggling of migrants, human trafficking and the illegal acquisition of documentation such as Identity Documents, birth certificates, permits and visas, illegal migration enabled by corruption and theft of face value documents. The CIO also provided information on how investigation tasks are co-ordinated and followed up, and how the unit prepares reports and documents for court cases. Furthermore, the CIO highlighted the challenges the unit faces, which involves the influx of foreigners, the border jumping at the border line, the place of detention for illegal immigrants, and the shortage of staff in the unit.

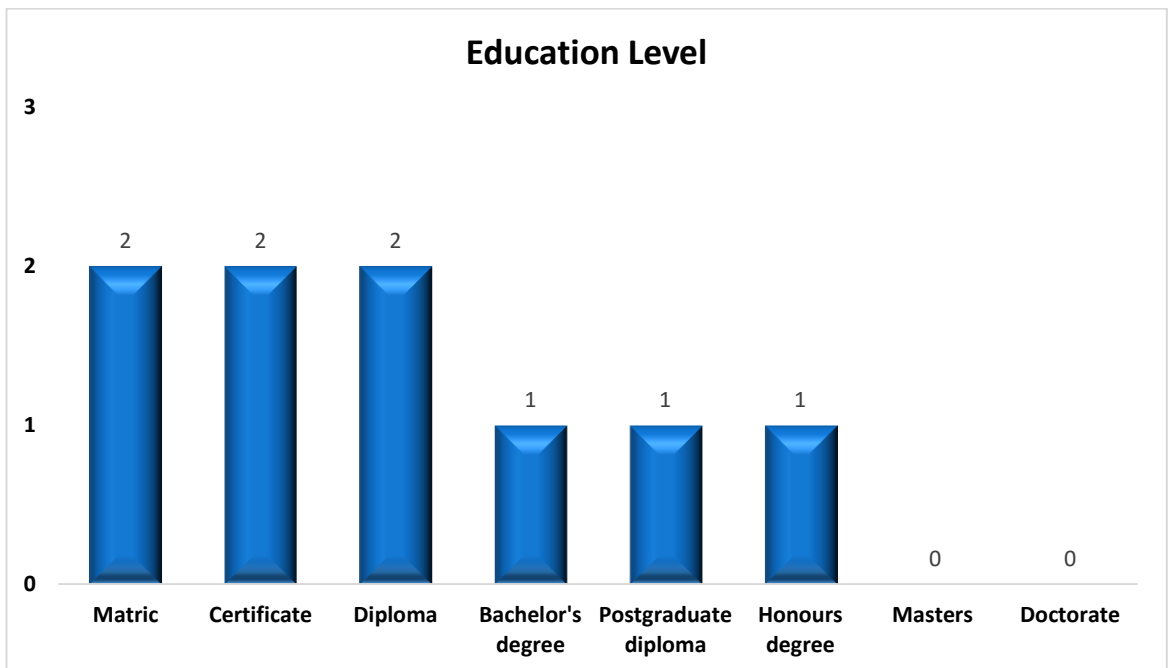
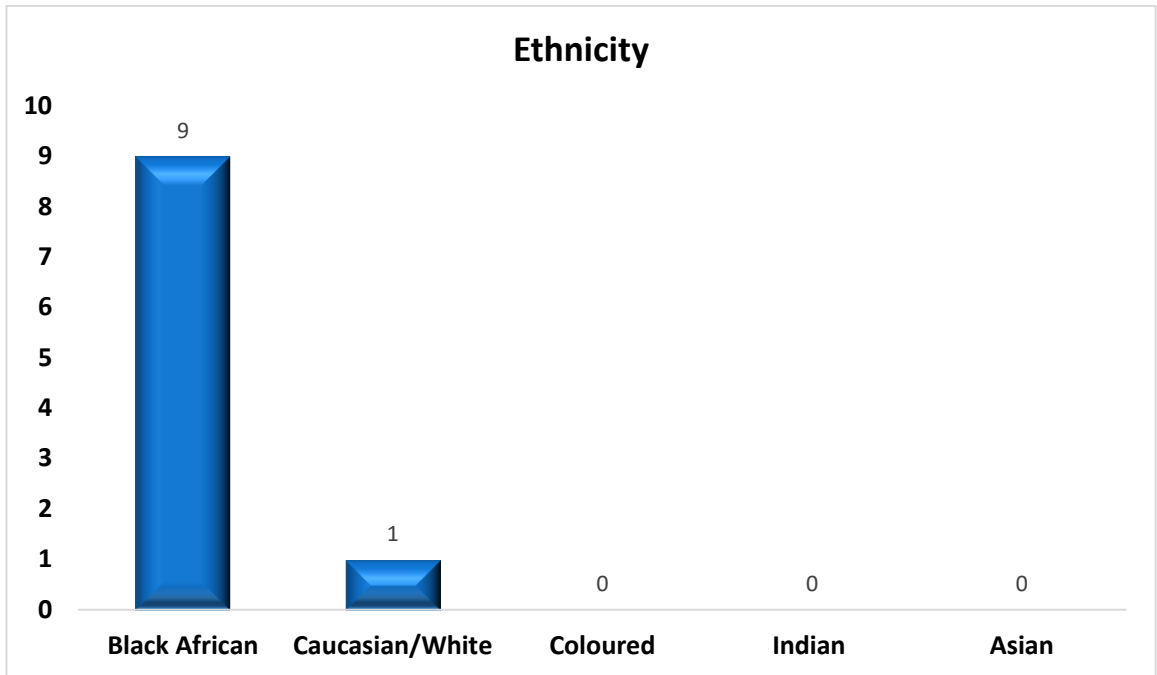
### DHA Randburg Organisational Structure

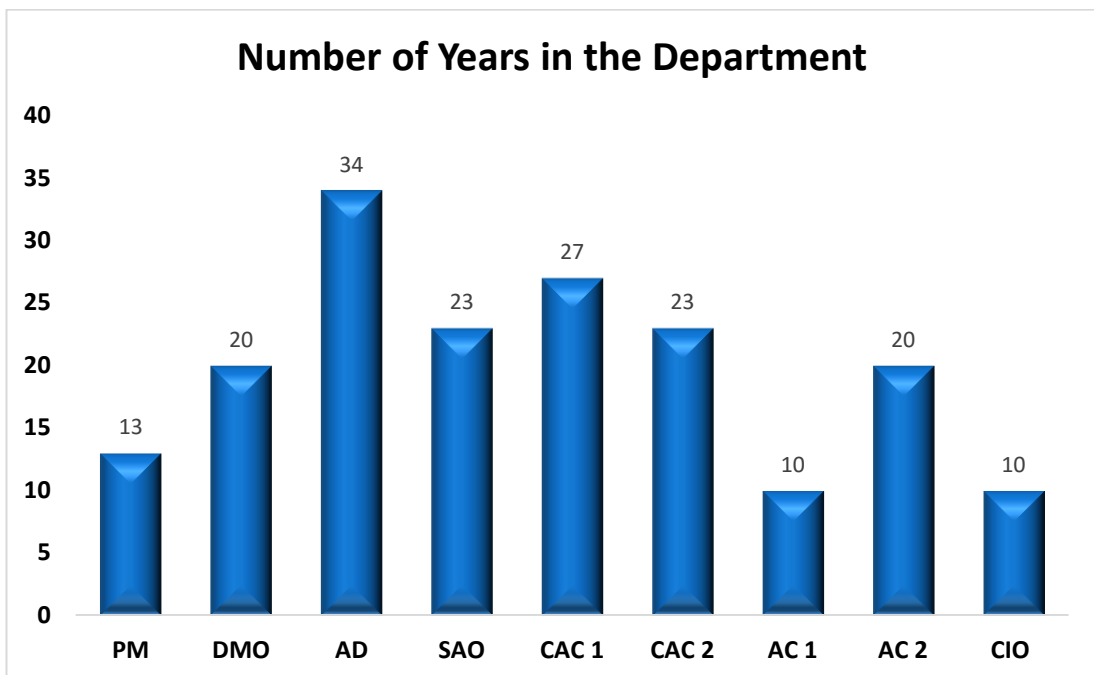
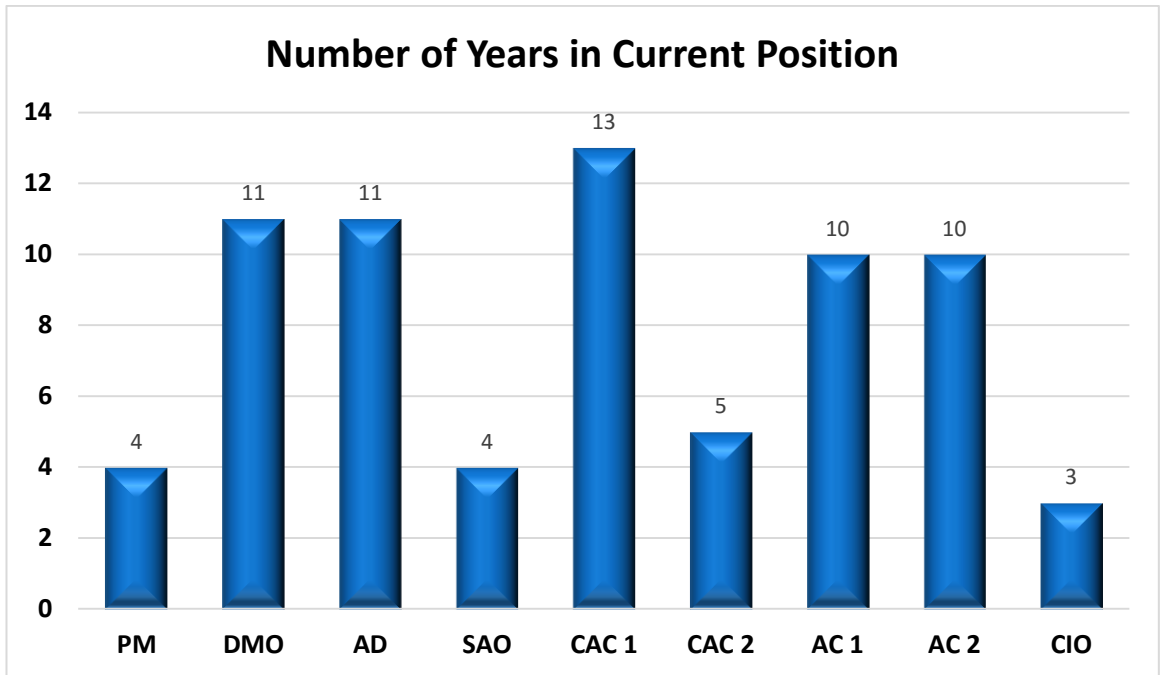




- PM: Provincial Manager
- DMO: District Manager Operations
- AD: Assistant Director Office Manger
- SAO: Senior Administrative Officer
- CAC: Chief Administrative Clerk
- AC: Administrative Clerk
- CIO: Control Immigration Officer







#### 4.4 PRESENTATION OF FINDINGS

The findings presented cover an array of issues obtained from the interviewees. The issues allowed the researcher to gain an understanding

of the dynamics and difficulties surrounding leadership and strategy implementation in the DHA. The data gathered from the interviews were categorised into five themes which were useful in addressing the research questions. Of the seven themes that arose five are specific to the Randburg local office at a regional level, one is specific to the DHA at a national level, and one is applicable to both the Randburg branch and the DHA as a whole.

The table below highlights the five themes specific to the DHA at a regional and national level.

**Table 2: Themes specific to Randburg local office and the DHA**

<b>Themes</b>	<b>Regional</b>	<b>National</b>
1. Systems		
2. Mandate and resources		
3. Operations		
4. Communication		
5. Leadership		
6. Monitoring and evaluation		
7. Employee retention		

#### **4.4.1 Systems**

The interviews revealed that there was unanimous agreement amongst the respondents that systems were a major challenge in the Department.

Our policies get deterred by the systems we use (PM, August, 2017).

The introduction of the new online system, otherwise referred to as the e-Channel portal, which enables South African citizens to apply and pay online for their Smart ID has been subject to a number of technical issues

and glitches which hampered service delivery. Thus a system that was aimed at bringing about significant gains in efficiency has become a major setback, as it is not functioning the way it was intended to.

The new e-channel- applying online is an issue. Clients who apply online expect to be prioritized when coming to the office for fingerprints etc. payment structure online needs to be revised. Often a client will pay online but when they arrive to the office it doesn't reflect that they have paid so they have to pay again and then apply for a refund which can take months. (CAC1, August, 2017)

Moreover, the DHA is dependent on service providers, such as SITA, Telkom, SARS, and Public Works, for the maintenance of its infrastructure and systems

We have many service providers on our system. We are not in control of our own systems (PM, August, 2017).

In its Annual Performance Plan (APP) the Department highlighted the fact that having a reliable network is key to providing DHA services. The services of the State Information Technology Agency (SITA) and the Department of Public Works (DPW) have not always been reliable. The dependency on these stakeholders for timeous service delivery, the lack of integrated IT systems across the DHA and poor records management does not support key civic and immigration services to clients.

We need a regional IT official at an Assistant Director level (OM, August, 2017).

There should be a permanent IT person in every office. We currently have to log a call and if it's something that cannot be fixed remotely we have to wait till that person is available that day to come in and assist us. We should have at least three IT officials under one district. Currently we only have one for each district (OM, August, 2017).

A further challenge in the systems is connectivity. Often the systems are slow or offline. Systems in hospitals have also become a major issue in capping late registrations for birth.

Systems in hospitals not functional. We have strategies to cap late registrations but don't have support due to equipment and systems not functioning (OM, August, 2017).

Check discrepancies before piloting (OM, August, 2017).

#### **4.4.2 Mandate and Resources**

The scope and reach of services the DHA provides is extensive. The Department processes a large number of enabling documents and transactions annually. Due to the scale on which the Department functions, achieving and maintaining service delivery standards is challenging.

In spite of the various attempts to improve service delivery standards through a range of programmes, "the Department is still constrained by a legacy of legislation, funding, security, systems and capacity that is not aligned with the needs of a sovereign, democratic state" (Discussion paper, 2017:11).

Regarding Immigration, We only have 725 officers (a drop in the ocean compared to SARS and Metro police) thus immigration can't carry out their mandate fully –this leads to issues such as xenophobic attacks. (PM, August 2017)

In its current position the DHA is unable to fully deliver on its mandate as a Department that is an enabler of national security, and is effective in its service delivery and provides efficient administration.

Our funding model does not speak to the services we provide. It does not support our operations (PM, August, 2017).

Our population keeps increasing yet our budget stays the same – budget not aligned to number of people the Department services (PM, August, 2017).

In order to deliver against its full mandate, the Department needs an appropriate operating, organisational and funding model. According to the Discussion Paper on Repositioning the DHA, “The Department is currently allocated a budget based on the assumption that it delivers routine services and therefore does not require a professional staff and a secure environment. Over the past six years (2010-2016) the operating budgets available to the DHA have been the lowest in the administrative and security cluster departments. While the budgets of the other departments have increased, except for DIRCO, the DHA’s budget declined in real terms by 2% if inflation is considered (2017, p.27).”

We are always given the least amount (DMO, August, 2017).

#### **4.4.3 Operations**

Good governance and efficient administration is closely linked to operations and the delivery of services. In the immigration environment, the most concerning issue is the influx of foreigners and border jumping at the border line. The operations environment of immigration is complex as it not only involves border and domestic elements but international factors as well.

In order for operations to optimally function, the Department requires an immigration system that identifies and manages threats. The Refugee Appeal Board needs to adequately manage the numbers of migrants they are receiving. If managed strategically and efficiently, immigration can be

a tool for economic development as most migrants are economic migrants and not refugees. Legislation also needs to assist the Department in urging other countries to take responsibility.

SA seems to be the first choice for people seeking asylum and that's why we have people from all over the world coming here, not only our neighbouring countries (PM, August, 2017).

In terms of the inspectorate, the number of officials under this unit is not enough to deal with the number of illegal migrants in the country which becomes a serious issue and only Home Affairs can address this issue through immigration services. Immigration services cannot fully carry out their mandate as this branch is severely under-capacitated.

The DHA has the largest client base compared to other government departments. Clients are serviced in over 400 frontline offices across the country. The Randburg medium office services approximately 300 people daily. The current operating model does not take into consideration the scale of services the Department provides. The current operating model caters for routine administrative services, outdated equipment, inadequate infrastructure and low-level technology.

There was general consensus amongst the respondents that infrastructure in which they service their clients is unacceptable. The buildings are dilapidated and old. Office space is a challenge, especially in the Randburg medium office.

We need more space and staff to cater for the large number of people we service daily (CAC1, August, 2017).

We are expected to provide first class service, but our environment doesn't scream first class (AD2, August, 2017).

The DHA works closely with its many stakeholders, including citizens, in order to execute its mandate. Stakeholders play an important role in DHA operations, policies and legislations. Moreover, stakeholder forums have been established in communities at a local, district, provincial and national level to address service delivery issues.

Collaboration with stakeholders supports the enhancement of service delivery and core business objectives, but it can also be a hindrance to service delivery. As highlighted above, systems are deemed a major challenge in the Department. The dependency on its stakeholders for timeous and effective service delivery is an issue.

We would like all our stakeholders (SAPS, SARS & SANDF) to be brought on board fully to control the influx of foreigners. Border control was headed by SAPS but will now be headed by DHA we would like our SH to give us a budget to employ SAPS officials to come on board (DMO, August, 2017).

#### **4.4.4 Communication**

Varying perspectives emerged from the respondents in relation to communication and its influence on strategy implementation. They were in agreement that the internal and external communication of the Department needs to be improved. Staff at management and lower levels noted that the current formal channels of communication are adequate as there are regular engagements internally in the form of meetings as well as externally in the form of stakeholder meetings, media statements and advertisements. However, most respondents agreed that statements made through the media and the public advertisements are insufficient as it is not comprehensive in that key information is often not divulged.

It would be beneficial if the public was notified through the media on when the systems of the Department will be offline, as this inconveniences our clients (AD2, August, 2017).

Our internal communication is poor, 90% of the information we receive is from newspapers. Often the public is informed about something before we as the staff of the Department are told. Key information should be revealed internally first before it is externally communicated (CAC, 2 August, 2017).

Advertising is important, especially when we are pressurised to get citizens to apply for Smart cards/IDs. We need the support of Departments such as Communications to assist us in advertising (Office Manager, August, 2017).

The public must be made aware of key issues for example, a client who was not born in South Africa cannot apply for a Smart card/ID yet. The public must know what is happening in the Department before they come in to the local offices, for example, when systems are offline (Office Manager, August, 2017).

#### **4.4.5 Leadership**

The Department is making great strides in its attempts to improve leadership and management practices. In 2015 the Department launched the Moetapele campaign, an initiative aimed at maintaining high standards of front office service delivery. The required processes and systems have been put in place to achieve this; however, the success of this initiative is reliant on effective and receptive Monitoring and Evaluation (M&E) upheld by reliable information. This initiative is aimed at all officials at all levels with the main objective being that officials exercise leadership wherever they are.

Notwithstanding, staff at the Randburg medium office felt that there is a serious disconnect between them and Head Office. There was

consensus amongst the respondents that Head Office does not have a grasp of day-to-day dynamics and challenges they face and thus only have a big-picture perspective. Some further highlighted that a bottom-up approach is taken but often the ideas of those at the bottom are shelved.

Head Office should spend a week or month with us to see what we are going through every day. There needs to be a mediator between local offices and Head Office (AD1, August, 2017).

Our concerns never reach Head Office. Head Office only addresses our challenges when it's a trending topic or the public gets wind of it (CAC1, August, 2017).

The interviews revealed that the majority of staff agreed that the lack of open and inefficient communication, especially in raising key issues, negatively impacts the implementation of strategy which leads to lack of trust, and further subverts implementation. The staff require leadership that motivates and inspires them. Supervisors and managers are responsible for this but should similarly create an environment that will allow them to be innovative:

You can't lead without having a following. People must see something in you that they don't have. You must be able to take people to a level they can't go on their own and unlock the door that they can't unlock on their own. Leadership is developed and gets sharpened until people see you at a higher level (PM, August, 2017).

#### **4.4.6 Monitoring and Evaluation**

Some of the research participants expressed the need for strong Monitoring and Evaluation (M&E) that will evaluate the performance of policies, programmes or projects and identify potential risks and

challenges that arise in relation to policies, projects or programmes, and devise a plan to mitigate the risk or rectify the blunders. They further highlighted that the current M&E system is not as effective as it could be. A well-functioning performance feedback system with adequate tools is required in order to determine whether policies, programmes or projects are achieving the desired results.

Due to the fact that systems are a major challenge for the Department it is important that the daily operations are effectively monitored, a task which one of the respondents felt should be actioned by supervisors.

The culture within the department is supportive towards the implementation of new strategies; however, the department lacks a culture of continuous improvement of services. Therefore monitoring and reporting is done out of compliance rather than to assess impact.

The information the M&E yields becomes futile because it is not acted upon. The culture of routine and standardised practice of daily functions stifles the need for continuous improvement.

You need a strong M&E team that will be able to look at the implementation process of the policy (PM, August, 2017).

Ineffective M&E constrains the implementation of strategy. The formal processes for M&E are not adequately followed or applied. The current M&E system does not accurately monitor performance in terms of inputs, outputs or outcomes, thus the Department cannot measure their efficiency, effectiveness and overall impact as a national organisation.

#### **4.4.7 Employee retention**

A few of the respondents alluded to the fact that the retention of employees is not adequately managed, and therefore the Department

loses skilled employees, especially in areas such as immigration, risk management, legal services, counter corruption and financial management.

We have the right people leaving the Department. If you have people with the right experience leaving it becomes an issue. The Department must retain people by creating counter offers for those wanting to leave the Department.

Due to the lack of funding, we often have to freeze posts because we want to save money.

The repositioning programme set out by the Department further highlights the “historical underfunding of immigration regulation which is reflected in the level at ports of entry and in the Inspectorate, which is lower than other departments and below international norms” (Discussion paper, 2017, p.23).

The paper similarly shed light on the low skills and supervisory levels within the Department. There are too many staff at a junior or administrative levels and too few with professional technical competencies.

#### **4.5 CONCLUSION**

This chapter presented findings from the interviews with participants from the DHA. The profile of the respondents was discussed and their perceptions were documented and discussed.

Themes that arose from the information gathered from the interviews were identified and discussed in order to answer the research questions and provide recommendations to the Department.

The following chapter will discuss the analysis of the data presented.

## **CHAPTER 5**

### **DATA ANALYSIS**

#### **5.1 INTRODUCTION**

This chapter presents the analysis of the data obtained from the interviews and document analysis. The data analysis presented in this chapter involves dividing, sorting and reassembling the data in response to the problem statement. The data is analysed in order to transform the data into findings. The analysis of findings seeks to fulfil the purpose of the study which is to investigate the leadership deficits within the DHA that impact on the implementation of strategy.

#### **5.2 PROBLEM STATEMENT**

Leadership plays a vital role in service delivery and the performance of the department, and the lack of leadership may hinder its outcomes. Now more than government leaders who see themselves as change agents and not only administrators are required. In spite of the improvements made in the DHA through a number of transformation initiatives, the Department still finds itself constrained by funding, systems that are weak, fragmented, vulnerable and not integrated, as well as challenges of capacity and security.

The scope and reach of services the DHA provides is extensive. The Department processes a large number of enabling documents and transactions annually. Due to the scale on which the Department functions, achieving and maintaining service delivery standards is challenging.

In its current position the DHA is unable to fully deliver on its mandate as a Department that is an enabler of national security, is effective in its service delivery and provides efficient administration.

In light of the above problem, the study aims to identify factors that impact on strategy implementation, what is currently being done to promote and drive high performance, and how leadership dynamics can be a barrier to effective strategy implementation.

### **5.3 CONCEPTUAL FRAMEWORK**

The 20-60-20 theory by Anunzio was selected as the conceptual framework for the study. This theory is premised on creating and sustaining high performance and the need to foster an environment of speed.

The theory splits up the workforce of the organisation into three groups based on a notion of effectiveness, more specifically high performance in carrying out daily tasks, which leads to increased organisational effectiveness. The theory further promotes quality management as it focusses on the leadership style that is not only centred on performance, but creates an environment where employees become highly engaged in the organisation and work hard to accomplish its goals.

Moreover, the theory supports the leadership initiatives that have been implemented within the Department. These initiatives address the need for high standards of service delivery to consistently be maintained, especially in the front offices of the regional offices across the country. It further stresses the need for exceptional leadership to drive and steer the strategy in order for high performance within the workplace to be achieved. Leadership is the engine, as it is what moves the organisation in

the right direction and is the main driving force for effective strategy implementation.

#### **5.4 ANALYSIS FROM INTERVIEWS WITH GOVERNMENT OFFICIALS**

The findings gathered from interviews with public officials from DHA presented an array of issues and opinions on leadership and strategy implementation in the Department.

There was general consensus that the mandate of the Department is too broad thus it cannot deliver against its full mandate. This is due to the fact that the DHA is constrained by funding, systems and security that is not aligned to its mandate. The current model in which the Department operates cannot adequately deliver the kind of service expected by clients.

Regarding leadership and strategy implementation, all respondents were in agreement that performance is hindered by systems and business processes. From the findings obtained, the leadership style that is applied within the Department is autocratic and transformational. External and internal communication, at all levels, was also a challenge highlighted that hampers effective leadership and management.

There were varying perspectives from the respondents regarding strategy implementation. Moreover, participants emphasised the need for strong and improved Monitoring and Evaluation. A well-functioning performance feedback system with adequate tools is required.

#### **5.5 GOOD PRACTICES**

Despite the challenges the DHA faces, it has improved over the years, especially with regard to the efficiency of key processes and the advanced security. There are clear pockets of excellence in some areas of delivery.

The DHA has made great strides in its attempts to modernise the Department and local offices nationwide and thus the Modernisation Programme was initiated to eliminate the outdated, fragmented, vulnerable and largely paper-based systems, professionalise public servants and create an environment that is highly secure and incorruptible.

In March 2015 the DHA established the Moetapele programme aimed at ensuring that high standards of front office service delivery are maintained. The officials at all levels within the Department are to steer and drive the strategy, and with good leadership high performance in the workplace can be achieved. Managers in frontline offices of the Department have been trained in operations management, management practices and business processes, to name a few. In addition, many frontline offices have digital processes for applying for IDs and passports.

The foundation was laid years ago with the genesis of the Turnaround Strategy and services to the public have radically improved. Since then a number of strategic advances have been developed, such as the new smart ID which replaces the green ID book, the introduction of quality courses, offered by the Learning Academy, aimed at professionalising and advancing skills, and the introduction of biometric systems which ensures accurate identification to protect citizens' information.

The Department also launched e-HomeAffairs, an online system that enables citizens to apply for their passports or ID smart cards online. DHA partnered with a number of major banks on this new system. The system allows citizens to submit their applications and pay their application fees. Once their application is submitted, citizens need to visit a Home Affairs office or supported bank for their fingerprints and photographs to be taken.

DHA has made further improvements regarding infrastructural development. The infrastructure that they service their clients with has improved; for example, counters for people with disabilities have been created. Every office has a Manager appointed in that office. To add to that, the Department has addressed the outlook of its officials by introducing uniforms to improve the image of its officials. Signage has been put in place in Home Affairs offices to show the segregation of services. In its efforts to improve service delivery, floor walkers are present at most offices to assist with children, the elderly, manage the queues and bottlenecks, and ensure that frontline services in the office run smoothly.

In an effort to curb the late registration of birth, the Department has officials stationed in a number of hospitals to assist mothers in registering their babies. This helps eliminate the long queues for birth registration at the offices.

## **5.6 CHALLENGES**

The DHA has a number of challenges that stem from a legacy of legislation and institutional factors that are not aligned to the needs of its large client base. The current operating and funding does not speak to the services delivered and expected by clients. The current operating model caters for routine administrative services, outdated equipment, inadequate infrastructure and low-level technology.

The mandate of the DHA is one that is not fully understood, and until it is, the vision of what it must become will not be achieved. Thus, the DHA has to be repositioned in order for this vision to be realised.

### **Nationally**

### **5.6.1 Mandate**

The scope and reach of services the DHA provides is extensive. The Department processes a large number of enabling documents and transactions annually. Due to the scale on which the Department functions, achieving and maintaining service delivery standards is challenging.

The mandate of the DHA is widely misunderstood by South Africans, especially regarding its role in economic development and national security. Therefore the Department needs to be repositioned by reviewing and replacing the operating, organisational and funding models that have been a hindrance to development and improved service delivery.

The current organisational model does not support the Department's mandate in achieving its goals and moreover, it is not aligned to the operational model. As a result organisational challenges arise due to underfunding and a lack of appreciation for the importance and broad mandate of the DHA.

A Discussion Paper was released on 19<sup>th</sup> May 2017 on the repositioning of the Department of Home Affairs. The aim of the discussion paper was to ensure that the DHA is able to deliver on its full mandate in order to improve national security, support economic development and empower citizens by safeguarding and effectively managing identity and status. A repositioned Home Affairs will have professional staff in place to efficiently administer identity functions and manage international migration accordingly.

The discussion paper (2017, p.5) further alludes to the need for the DHA to have an "anchor legislation that defines its mandate and role in a

democratic sovereign state that must confront deeply rooted challenges of social justice, economic development and efficient government.”

The mandate of the DHA has to be protected in order for it to be repositioned, along with higher levels of security, a completely functioning digital programme, suitable funding and officials with proficient and applicable skills. Moreover, the DHA has to be repositioned through the modernisation of its systems and key processes, the implementation of appropriate organisational and operating models, and improved business processes.

### **5.6.2 Financial resources**

Funding is a major concern within the DHA. The planning environment of the Department becomes complex due to severe underfunding based on the assumption that the DHA is an administrative department. It does not take into account that the Department is responsible for the security of its people and systems, or that it has the largest client base compared to other government departments, and it attempts to deliver modern and quality services to all citizens while simultaneously maintaining high standards of performance.

As a result, in its APP (2016/17, p.5) the DHA proposed being repositioned as a “critical enabler of national security, service delivery and socio-economic development. It has further developed a business case that sets out legal, organisational and funding options for a DHA that can deliver against its full mandate.”

The DHA remains constrained by funding that is not aligned to its mandate. The funding models have been a major hindrance to development and improved service delivery. The Turnaround Programme, a project that was largely funded, failed to make advancements in

Immigration, a complex and dynamic environment as it not only involves border and domestic elements but also international factors. Underfunding of immigration services is reflected in ports of entry, the influx of foreigners and the size of the Inspectorate unit, which is lower than other departments and below international norms.

The current funding model is based on the assumption that the DHA delivers routine administrative services and thus does not require a professional staff and a secure environment. As a result of the lack of funding and security the DHA has not been able to fulfil its mandate.

Effective systems with well-organised and capable offices is what the DHA desires. This would not only transform the Department into a responsible and secure organ of the state, but will ensure that its mandate is achieved. Repositioning the DHA is essential and will require an increase in the funding model of the Department.

The state and citizens are dependent on the DHA and conversely the DHA is dependent on the consistency and security of the organisation and its systems. It is evident that a funding strategy needs to be developed and be a point of departure for the new operating model, and pull together its capabilities to foster new e-streams of revenue that will make a sizeable contribution to the fiscus. The state must ensure that the department has the necessary financial resources in order to deliver against its broad mandate.

## **Regionally**

### **5.6.3 Internal processes**

In order for the internal processes of the DHA to run smoothly, it requires legislation that is appropriate, digital systems that are appropriately

integrated as well as experts who can manage these systems. Additionally, the security of these systems is important as it can affect the way in which the Department renders services to the public and its clients. If services are not delivered efficiently such as early birth registration, it affects the security of the national population register and increases the risk of fraud and errors.

Moreover, immigration and identity systems are essential in safeguarding the security of the state and its people. Identity theft is a major issue and it leaves the victims feeling unsafe. It is thus crucial for the Department to employ professionals to manage and secure those systems proficiently, in the interest of the citizens of the country.

As the population grows so does the demand for services by the Department, despite its stark financial constraints. A further challenge for the Department regarding systems is the mix of current modern technology with outdated and fragmented processes, together with the reliance on national and local networks by service providers. Having some processes that operate on a fully digital system, while others are partially paper-based, undermines effective service delivery as well as the method in which supervisors and staff execute their duties as the standards of supervision and staffing differ.

The environment in which the DHA operates is volatile as a result of its dependency on its service providers for the maintenance of its systems and infrastructure which, to a large extent, has been unreliable, thereby making it difficult for the Department to achieve and maintain high standards of service delivery.

Furthermore, the DHA over the years has made a number of changes to its policies, legislation and systems which arose as a result of the challenge of legacy systems and change management. Various services

at various stages became redundant due to the amalgamation of these internal and external factors.

The findings of the study revealed that various departments within the Department are severely overloaded with tasks, resulting in under performance. It is evident that these problems continue to affect the DHA, and some challenges have increased. Therefore, better systems to manage and control output are a necessity. There are inconsistencies in the overall structural, operational and funding model, resulting in poor service delivery to the public.

With regard to internal and external communication it is crucial for the Department to alter its communication channels so that the public can be better informed about the services the Department offers, the service standards the Department has dedicated itself to achieving, and the evaluation of those standards, as well as the requirements for accessing the services. Subsequently, the Department should communicate its successes and achievements to restore public confidence in its ability to deliver services.

Regarding M&E, the findings revealed that an appropriate M&E system is required to enable the department to adequately assess its performance with regard to its objectives. This assessment should be done on a continuous basis in order to anticipate the need for corrective measures where performance fell short or was not achieved.

#### **5.6.4 Leadership**

Both management and leadership are necessary for the success of an organisation, and both are concerned with providing direction. In terms of the core processes and desired outcomes, the DHA can be commended for developing plans with timelines, setting operational goals, establishing

a structure and allocating resources to these various operations, although financial resources have proven to be a challenge as the Department is severely constrained by the lack of funds provided. Key to management and leadership in an organisation is the ability to accurately monitor results against the implemented plans and to then take corrective measures. The monitoring of results and solving problems, however, has been a challenge for the Department as staff have highlighted the need for an appropriate M&E system, and have further alluded to the fact that pertinent issues discussed on a monthly basis do not get addressed immediately.

Due to the fact that the DHA is an organisation in which change has become an integral part of the business, it is important for the leader to have a good relationship, based on influence, with his/her subordinates. Additionally, with respect to relationships, there is a mutual drive between the leader and his/her followers to see change in the organisation and attain the vision as set forth.

Developing a vision and strategy for the future is what forms the bedrock of leadership. Leadership requires exercising foresight, transforming the organisation in order to make the necessary changes, developing a shared culture, communicating and clarifying the strategy or vision, and lastly motivating and inspiring the workforce to achieve the vision.

Motivation and inspiration has proven to be a challenge in the Department. The findings revealed that employees lack inspiration, motivation and zeal. Less management and more leadership needs to be applied in the Department, more especially in the local office, as there is a lack of assisting employees to grow in order to fully participate in achieving the vision of the Department. Leaders should be coaches and facilitators and not bosses who hold a formal position of authority, as this stifles effective leadership. Furthermore, the findings revealed that the inputs and ideas of

staff are often disregarded, and leadership at the top should commit to truly being open to the concerns, suggestions and ideas of those at the bottom. A true leader is sensitive to his/her subordinates and respects their ideas and concerns, and further shows appreciation and considers their input when important decisions are discussed.

### **5.6.5 Retention and talent management**

According to Arocas and Camps (2007, p.27), “Retaining staff is usually a far better investment than the cost of recruiting replacements.” The role of commitment and satisfaction are essential to the way in which employees conduct their duties.

The growing demands for talent in the Department, especially with regard to higher professional technical competencies, coupled with the reduction in the availability of exceptional talent, has made the procurement, the expansion and retention of talent a major strategic challenge.

According to Silzer and Dowell (2010, p.25, as cited in Gubman 1998, p.15), “Your workforce is the only thing that is both necessary and sufficient to execute strategy.” In the same tone, he argues that the success and performance of the organisation is vested in “the unique and potentially most powerful resource –your workforce”.

Talent needs to be effectively managed within the Department, as a critical driver of organisational performance. An organisations ability to attract, develop and retain its workforce will have an effect on the sustainability of the organisation as well as its competitive advantage. The shortage of skilled labour has made it more challenging for the Department to attract and retain employees.

## 5.7 STRATEGIES FOR CONSIDERATION

From the findings gathered by the respondents, there have been strategies proposed for consideration. In terms of operations, some of the respondents suggested reviewing the number of stakeholders on their system. The dependency of the Department on its service providers for the maintenance of its infrastructure and systems and timeous service delivery has proven to be a challenge as they are not always reliable. They further proposed having their own system, thereby being in charge of their own system, as well as integrating their systems for key services, which includes IDs/Smart cards, births, marriages and deaths (BMD).

Another respondent proposed that IT be reviewed as a critical element in the organisational, operational and funding model within the DHA, and further suggested a regional IT official at an Assistant Director level be appointed. Moreover, a permanent IT person should be present in every office, and at least three IT officials should be appointed under one district.

The funding model was another critical area that requires attention. One respondent noted that the current funding model does not speak to the services being provided and thus fails to support the operations.

The repositioning programme has also put in place strategies to reposition the Department. The paper highlighted the need for a secure, modern Home Affairs that is run by professionals, and in an effort to achieving this vision the current organisational, funding and operational models need to be replaced.

The operating model must be able to effectively deliver services to citizens and clients. Additionally, the operational model is to reposition the DHA in a way that will allow it to manage identity and migration effectively, and to position the Department to become relevant and receptive to the

globalisation of the world and continent, where changes in the technological, economic, social and political environments are occurring rapidly.

In terms of the organisation, strategies will be put in place to reposition the current model in a way that will require a change in the culture of the organisation. This includes how the workforce behaves and responds to their duties, how they view their tasks and roles, what skills they require, how information is shared with stakeholders, and its approach towards service delivery. The future organisational model calls for posts in key areas such as IT, security, business analysis, and research and statistics.

Regarding the funding model of the Department, the programme proposes that the state provides a budget sufficient for the DHA to deliver against its full mandate. Moreover, this funding model should have a sound and reliable policy foundation.

In respect to leadership and the retention of staff, the Department should have measures in place to prevent skilled employees from leaving the organisation as this could have unfavourable effects on performance and service delivery. Strategies should be put in place that will assist the Department in identifying and retaining dedicated and loyal employees for as long as is mutually beneficial to the organisation and the employee.

## **5.8 CONCLUSION**

This chapter provided an analysis and interpretation of the findings gathered from the interviews with DHA officials on the issue of leadership and strategy implementation in the Department. A thematic analysis was applied to interpret the data.

The thematic analysis revealed that:

- The mandate of the Department needs to be repositioned because in its current position the DHA is unable to fully deliver on its mandate;
- Financial resources are severely constrained;
- The funding model is not aligned to its mandate;
- Digital systems that are appropriately integrated as well as experts who can manage these systems are required;
- Dependency on unreliable service providers for the maintenance of systems and infrastructure stifles of service delivery requires change;
- Communication channels need to be improved; and
- Better M&E is required.

# **CHAPTER SIX**

## **CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

This chapter concludes the study and provides recommendations for the improvement of the leadership and strategy implementation. It sheds light on the aspects that lead to understanding the leadership deficits and the challenges related to strategy implementation. It reiterates the purpose of the study, the research questions, and briefly explains the literature and the role it played in guiding the study. It further supports the methodology applied in the study and provides a summary of the findings and analysis of the data.

### **6.2 CONCLUSION**

#### **6.2.1 Purpose statement**

The purpose of the research was to investigate leadership deficits within the DHA and its impact in the implementation of strategy. The research explored what the leadership is doing to promote and drive high performance, and also considered how leadership dynamics can be a barrier to effective strategy implementation. Investigation of these challenges was conducted at local, regional and provincial level of the DHA.

#### **6.2.2 Research questions**

The study was guided by the following research questions:

- What are the leadership challenges that hinder strategy implementation?
- What are the leadership trends in strategy implementation?
- What are the leadership strategies for consideration in the implementation of strategy in the DHA?

### **6.2.3 Literature review**

In order to understand the leadership challenges and its effects on effective strategy implementation a thorough interrogation of literature was employed. The literature review provided in-depth and comprehensive information on the subject of the study, through thorough analysis, evaluation, summary and synthesis of information. The literature review further allowed the researcher to interrogate information that enabled her to decide on the research approach of the study, discover approaches to research and data collection methods and to interpret empirical research findings.

It proceeded to provide an understanding on the role of leadership in strategy implementation and assisted in identifying leadership deficits within the DHA and its impact on the implementation of strategy as well the role of leadership in strategy implementation in the DHA and its influence on performance.

A theoretical framework was presented which acknowledged theories that enabled the researcher to inform or explain the phenomenon under investigation. The literature review explored significant leadership theories, which included the transformational leadership theory, servant leadership, strategic leadership theory, as well as the 20-60-20 theory.

### **6.2.4 Research methodology**

The research design chosen for the study was exploratory as it assisted in recognising the problem and opinions or practices related to the subject area, thus shedding light on the nature of the problem. A case study method was utilised for the study as it allowed the researcher to concentrate on issues that are fundamental in understanding the role of leadership in strategy implementation and its impact on organisational performance.

Extensive interviews were done with staff and managers playing a critical role in both the development and implementation of strategies within the department. Interviews were face-to-face and semi-structured and allowed the researcher to clarify responses by probing further beyond the answers. This enabled the researcher to establish the roles played by the participants within the DHA. These participants play a key role in strategy implementation and organisational performance, and have direct or indirect contact with customers. The researcher interviewed 10 participants.

As part of this study the researcher explored how officials formulate and implement strategy in order to maintain quality standards for effective service delivery. the study explored how the leadership is driving strategy to maintain consistently high standards of front office service delivery. The researcher interviewed two employees at middle management level, the District Manager of the Johannesburg region and the Provincial Manager for Gauteng, as well as three employees at senior management level, Directors and Chief Directors.

Documents relevant to the study were examined, thus documentary analysis was employed.

### **6.2.5 Presentation of findings**

The findings in relation to strategy implementation in the DHA were presented. Data was presented in themes and responded to the research questions used to gather data. The themes were based on the narratives of what the respondents said as the content that informed the patterns of evidence.

#### **6.2.6 Analysis and interpretation of findings**

Data gathered from the study facilitated the interpretation and analysis of the findings and identified strategies for consideration in the implementation of strategy in the department. The analysis of data allowed the researcher to transform the data collected from the findings. A thematic analysis was applied for the purpose of the study, in order to make sense of the large amounts of raw data generated from the data collected.

The analysis revealed that:

- The mandate of the Department needs to be repositioned because in its current position the DHA is unable to fully deliver on its mandate.
- Financial resources are severely constrained.
- The funding model is not aligned to its mandate.
- Digital systems that are appropriately integrated as well as experts who can manage these systems are required.
- Dependency on unreliable service providers for the maintenance of systems and infrastructure stifles service delivery.
- Communication channels need to be improved.
- Talent needs to be effectively managed within the branch, as a critical driver of organisational performance.
- Motivation and inspiration has proven to be a challenge in the branch.

- Better M&E is required.

## **6.3 RECOMMENDATIONS**

This report concludes with the following recommendations.

### **6.3.1 Strategy implementation**

The literature review highlighted barriers to the successful implementation of strategy, which included poor communication of the strategy resulting in a lack of understanding of the strategy, inadequate leadership, direction and management skills, and lastly poorly defined roles and duties. Furthermore, when a strategy is not fully embraced by employees it hinders the performance outputs of the branch.

Strategy in the public sector is concerned with service delivery, performance and the organisation's conduct and actions. Strategies are employed to increase organisational performance, maximising and securing organisational competencies, securing the organisation's future by ensuring survival, captured by the performance measures currently put in place.

Strategies executed by public organisations arise from intricate processes and interactions that occur in line with the constitutional mandate. Moreover there are accounting and reporting processes that are linked to established performance targets.

### **6.3.2 Mandate and organisational structure**

The mandate of the Department needs to be clearly defined, which is what the repositioning programme alludes to. Although this issue is not entirely

within the power and capability of the Randburg branch, it has an impact on the daily operations and internal business processes of the branch.

The mandate of the DHA is one that is not fully understood by most South Africans, especially regarding its role in economic development and national security. In its current position the DHA is unable to fully deliver on its mandate as a Department that is an enabler of national security, and is effective in its service delivery and provides efficient administration.

Key to the repositioning of the organisational model is the need for policy or legislature that defines the position of the Department in the market. Additionally, strong governance structures must be put in place to effectively monitor the implementation of strategy, together with robust systems and proficient experts to provide and manage sound information and appropriately analyse this information. Furthermore, in support of operations, experts in IT, systems, research and development, and statistics are required.

The daily actions of the Randburg branch are repetitive in nature. These actions reflect the organisation's values, beliefs, mission, and must abide by the rules that govern actions and decision-making. The routine nature of the branch has not always benefited the organisation, as highlighted in the interpretation of the findings. Technology must be brought in to support traditional and formal procedures in order to accelerate performance and facilitate organisational change.

The state and its citizens are, to a large extent, dependent on the DHA, while the branch's services are reliant on the integrity and security of the organisation along with its systems. Technology is increasing at a rapid rate where the ability to execute public services can now be done with ease. The DHA must move onto a fully digital platform for all services in order to transform the way it renders services.

Due to changes in industry and society, as a result of growing demands for high performance, speed and flexibility DHA is subject to change. The Department must rapidly reshape itself into a nimble and flexible organisation that focuses on the interests of its clients and stakeholders. Processes within the Department need to be improved, simplified and integrated to be able to strengthen and improve the organisation's service delivery and satisfy its clients.

In order to address rapidly changing environments, the DHA must be able to internally and externally restructure its capabilities in order to expand its resources base. The current operational model is dependent on strong leadership that is able to transform the resource base to achieve the strategic objectives which entails, to name a few, being responsive to the needs, wants and rights of the public and clients of the Department.

### **6.3.3 Communication**

Regarding consultation and communication, the branch needs to work collectively with the Department to put structures in place to improve its internal and external communication, particularly with regard to relevant stakeholders of related services.

Communication is necessary for effective strategy implementation. In order for the branch to maintain a good reputation publicly and internally, a well-formulated plan must be implemented, where the public and stakeholders are well informed on the mandate and major developments within the Department.

Proper systems must be developed to promote consultation between key departments and the public to ensure that the needs of internal and external clients are effectively and efficiently responded to.

#### **6.3.4 Systems**

An adequate and well-functioning monitoring and evaluation system must be put in place to provide management with reliable and current information on the performance of activities and programmes. This type of system will be able to provide management with early warning signs of poor performance or potential failure in services. It will also assist in identifying which programmes lack or require more attention. Customer satisfaction is important and the system should include this in its assessments. Feedback from customers should be obtained on a continuous basis. This feedback is beneficial to improving performance and service delivery.

#### **6.3.5 Leadership**

There is no doubt that both management and leadership are necessary processes to the success of an organisation. Both these processes assist in developing networks or relationships to support the execution of key tasks. Based on the findings, an approach towards less management and more leadership is required in the branch in its current situation. Titles derived from a formal position of authority and egos need to be suppressed as effective leadership cannot be provided in this manner. Leaders need to play the role of a coach and facilitator of change. Leadership needs to actively challenge the *status quo* so that outdated systems and unproductive business processes can be replaced, in order to address the current challenges.

Effective management is important and necessary as it allows the organisation to achieve its current objectives. However, it is good leadership that will move the organisation into the future. This is a critical success factor for organisations to move beyond the *status quo* and

remain successful. There needs to be a move away from the traditional management practices.

A more participatory leadership style should be applied in the branch. Leaders need to encourage participation in decision-making processes and where good ideas and suggestions made by subordinates are utilised and not disregarded. Interpersonal relationships need to be strengthened.

### **6.3.6 Employee retention**

Regarding the retention of employees within the Department, a programmatic approach is required to manage strong talent. An issue that is applicable to both the Randburg local office and the Department as a whole, the DHA must understand the strategic value of retaining its talented employees and the impact that exceptional talent can have on performance and service delivery.

The role of leaders in staff retention is essential since their leadership styles impact directly on staff perceptions and feelings towards the organisation. Nair and Malewar (2013, p.84, as cited in Breadwell, 2007) emphasise that “employees leave managers and not the organisation.”

Managing talent is a leadership imperative and must be a central part of the organisational model of the Department. The Department must prevent the loss of competent employees considering retention and talent issues when new strategies are being developed.

Leaders are the solution to retaining valued talent. There was a general consensus amongst the respondents that inadequate communication as well as the lack of involvement in decision-making processes were some of the issues that caused job dissatisfaction.

Communication is a core management skill and responsibility. The goals of the organisation need to be successfully communicated by the leader who should guide the workforce in a manner that allows them to effectively contribute to the achievement of goals.

Anunzio's 20-60-20 rule is centred on effectiveness, more specifically creating and sustaining high performance in an organisation. The key to moving the organisation from the *status quo* to a high performance organisation is to change the existing culture by creating structures that will empower, focus and engage employees. Engaged and empowered employees are high performers who are more likely to stay with their organisation as they view themselves as valued, instrumental and having an integral part in the organisation. Employees who are in the high performance zone must know that their contribution is instrumental to the organisation in its present state as well as in the future.

Management at all levels of the branch must clarify how their staff fit and can grow into the organisation long-term. Their career path and development must be communicated, especially with reference to opportunities. Where there are no opportunities or promotions currently available, top performers must be able to understand their position in the organisation and to see the development of opportunities. In essence every employee must understand their own roles, responsibilities and the specific tasks they need to execute in order to help achieve the vision of the organisation.

The leadership of the branch must ensure that employees feel that the job they are doing is meaningful, and carries weight. Moreover, leaders and managers must be supported and encourage employees to become experts in their roles. Employees in the high performance zone should continually be encouraged, mentored and rewarded, and average performers must be coached to move into the high performance zone.

Leadership and training programmes centred on skills is not enough to produce a high performance organisation. Some managers and staff have lost their zeal, drive and focus. Therefore, they are not fully engaged and lack the motivation to achieve the organisation's outcomes.

The first step in driving and attaining high performance is to change the attitude and behaviour of the workforce. The transformation of the branch requires building a culture of excellence by equipping employees with the right mind-set and skills needed to achieve the desired outcomes. The right mind-set helps eliminate doubt and uncertainty by fostering team cohesion, innovation and development.

Internal mentorship and coaching mechanisms must be put in place to retain high performers and manage average employees to avoid any recurrence of poor work culture. The lack of support and encouragement from managers and supervisors was an issue that arose from the data gathered through interviews with the staff. The branch must ensure that leadership and coaching is practically applied so that staff feel supported, resulting in higher levels of motivation towards executing their tasks and goals.

The DHA's core objective is customer service excellence. With the largest client base of all the departments and a mandate to serve the public it is critical for the branch to create a memorable and positive experience for its clients, which is the lifeblood of customer service. The experience needs to be consistent in every area of the branch. The heart and energy of a person is as important as the skills applied in servicing the clients. Clients want to feel that those servicing them sincerely care about satisfying their needs.

Leaders and managers need to build a strong team culture of excellence, where silo mentality is eradicated and the workforce functions

collaboratively with transparency and shared goals. Employees unite when they have confidence in each other, and believe that the work load is being fairly allocated. Managers must identify those individuals who are willing to step outside their formal duties to assist others. Trust between co-workers occurs when they rely on each other to execute tasks more effectively and accomplish goals.

The respondents were all in agreement that their complaints and frustrations are often not taken seriously and their ideas and suggestions often get ignored. It is critical that leaders and managers act promptly on the feedback given by staff or provide regular updates. Leaders and managers cannot simply delegate and leave, but should collectively with their team work towards improving organisational performance.

### **6.3.7 Boost employee morale**

Employees become discouraged by systems and processes that do not care about their well-being. A number of respondents emphasised this issue in the interviews, especially with regard to the infrastructure of the branch. Their current working environment is physically unappealing, with old furniture and dilapidated buildings. In order to get the average workers into the high performance zone, and to keep those who are already in the zone, the branch needs to consider the environment in which staff work. A physically pleasing environment must be provided to make employees more comfortable at work.

This will have a positive impact on the service they provide to customers. A pleasing work environment boosts the morale of staff and enables them to take pride in their job and be committed to achieving the organisation's goals.

#### **6.4 FURTHER RESEARCH**

A longitudinal study can be conducted across all local offices within the Gauteng Province. Future research can be conducted on current performance management systems and the application of the high performance framework.

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## **ANNEXURES**

### **APPENDIX A: PARTICIPANT INFORMATION SHEET**

**TITLE OF STUDY: LEADERSHIP AND STRATEGY IMPLEMENTATION IN THE DEPARTMENT OF HOME AFFAIRS**

**RESEARCHER: BOITSHOKO MOKGAUTSI**

**INSTITUTION: UNIVERSITY OF THE WITWATERSRAND, SCHOOL OF GOVERNANCE**

#### **INTRODUCTION**

My name is Miss Boitshoko Mokgautsi; I am currently studying for a Master of Management Degree in Public Policy at the University of Witwatersrand. I am conducting research on "Leadership and Strategy Implementation in the Department of Home Affairs". The study is strictly for the purpose of the award of the Master Degree in the field of Public Policy.

I would like to invite you to participate in this research study. Your participation will involve participating in one, single interview with myself during which I will ask you questions from a questionnaire. The interview is expected to last no longer than an hour and is a once-off event. Your participation in this study is entirely voluntary. Before agreeing to participate, it is important that you read and understand the explanation of the purpose of the study and study procedures.

It is hoped that the study will contribute towards addressing the knowledge gap, concerning leadership challenges in the implementation of strategies within the public service sphere, and offering a better understanding of these issues. When I have completed the study I will produce a summary of the findings which I will be more than happy to send you if you are interested.

#### **PURPOSE OF THE STUDY**

The purpose of the research is to investigate whether there are leadership deficits within the Department and its impact in the implementation of strategy. The research will explore what the leadership is doing to promote and drive high performance, and will also consider how leadership dynamics can be a barrier to effective strategy implementation.

#### **RISKS AND BENEFITS**

There are no risks involved in participating in this study. The benefit of the study is that it intends to identify the leadership challenges that impede the implementation of strategy and then make recommendations to the department. Moreover, you may find the study interesting and enjoy answering questions.

### **CONFIDENTIALITY**

All information obtained during the course of the study will be kept strictly confidential. Personal information such as contact details and home addresses will not be included in the research report. There will be no video or audio recordings of the interviews.

### **RESEARCHER**

#### **BOITSHOKO MOKGAUTSI**

079 627 0417

1190976@students.wits.ac.za

### **SUPERVISOR**

#### **DR. MANAMELA MATSHABAPHALA**

011 717 3508

manamela.matshabaphala@wits.ac.za

## **ANNEXURE B: INTERVIEW QUESTIONNAIRE**

**Public servant interviewees: Senior Admin Officers, Chief Admin Clerks, Admin Clerks, Office Manager, District Manager and Provincial Manager.**

**Name of the interviewee:**

**Designation (position):**

**Number of years in the position:**

**Number of years in the Department:**

### **Section A: Demographic data**

- I. Age:
- II. Ethnicity:
- III. Education Level:

### **Section B: Questions**

1. What are the major challenges your Department faces in the implementation of strategy?
2. How are those challenges being addressed?
3. What do you think needs to be improved to enable successful implementation of policy?
4. What are the constraints to strategy implementation?
5. In your opinion what are the characteristics of a good leader?
6. Do you possess any of the above mentioned characteristics?
7. As a leader what achievements have you made?
8. Would you agree that leadership, communication, and planning are all critical contributors to the success of the Department? YES/NO. Explain why.
9. Have you attended any training in the last 2 years to improve your leadership skills? Please provide examples

10. Have you attended any training in the last 2 years in order to improve your ability to implement strategies?
11. What is the role of the leadership in driving and implementing strategy in support of service delivery?
12. What are the leadership trends in strategy implementation?
13. What are the leadership strategies for consideration in the implementation of strategy in the Department?
14. What are the challenges you've faced in your Department within the last year?
15. Is the current organisational culture supportive of the implementation of strategy? YES /NO. Briefly explain
16. What is effective strategy implementation dependent on/ what does effective strategy implementation requires?
17. What contributions are being made in providing leadership to ensure effective strategy implementation? Please provide some examples
18. Do the staff members possess sufficient skills and competencies to be able to implement strategies?
19. Has there been improvement in the attitudes of staff, coordination of activities and overall performance of the organisation?
20. How do you manage your weakest employees in order to get them into a high performance zone?
21. What are the leadership challenges at the various levels of management within the Department –senior management level, middle management, and junior management level?
22. Are you involved in the strategic planning processes within the Department and how?

*Thank you for participating in the interview.*

**Participant Name:**

**Participant Signature:**

**Date of interview:**

## ANNEXURE C: DOH LETTER OF APPROVAL



home affairs

Department:  
Home Affairs  
REPUBLIC OF SOUTH AFRICA

DHA-57

230 Johannes Ramokhoase Street, Private Bag X114, Pretoria, 0001  
Parliamentary Office, 120 Plein Street, Private Bag X9048, Cape Town, 8000

Enquiries: Rittah Monama

Tel: 012 406 7114

Email: Rittah.Monama@dha.gov.za

Ms Boitshoko Mokgautsi  
P O Box 3202  
Honeydew  
Gauteng  
2014

Dear Ms Boitshoko Mokgautsi

**RE: Request for permission to conduct research in the Department of Home Affairs on "leadership and strategy implementation in the Department of Home Affairs, Randburg office."**

Your request to conduct in the Department of Home Affairs on "Leadership and strategy implementation in the Department of Home Affairs, Randburg office" has reference. The Research, Information and Knowledge Management directorate acknowledges the above request.

The DHA, through Research, Information and Knowledge Management, has approved your request to conduct research in the department to fulfill the requirements of your research project. The approval is based on your submission of all the required documents.

It is our understanding that the interviews will be conducted using the interview guide submitted to the department to ensure that the security of the department is not compromised. Upon completion of your studies, the DHA requests that you furnish the departmental Information Resource Center with a copy of your approved research report, which can be shared with the entire departmental staff.

The department wishes you all the best in your studies.

**Nkidi Mohoboko**

Deputy Director General: HRM & D

Signature:

Date: 02/03/2017.