

# **Evaluation of the Effectiveness of the Implementation of the Staff Performance Management System in the Department of Social Development: A Case Study of Eerste River Office**

by

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*Thesis presented in partial fulfilment of the requirements for the degree  
Masters in Public Administration in the faculty of Management Science  
at Stellenbosch University*



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December 2018

## **Declaration**

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## **Abstract**

The performance management system presents one of the major issues concerning management of staff performance within government departments in South Africa. The purpose of this study was to evaluate the implementation and effectiveness of the staff performance management system at the Department of Social Development in the Eerste River office. It also aimed to identify challenges experienced during the implementation process of performance evaluation systems.

Primary literature from different theorists was used as a point of departure for the research study. The literature comprised theoretical books, government legislative documents, journals, articles, policies and legislation pertaining to dealing with challenges of performance management implementation.

The research study made use of qualitative and quantitative research methodology. The objective of achieving performance evaluation was pursued through an evaluation of existing literature and concepts of performance management systems and linking this with regulations guiding the process of performance management within the organisation. The data were collected through the use of a questionnaire as an instrument tool, which collected data from respondents in the organisation.

Recommendations were made to formulate a performance evaluation checklist, a year planner with attached timeframes, and to allocate responsible employees at Eerste River to facilitate the process of performance evaluation in alignment with the schedule of the head office of the Department of Social Development.

The managers and supervisors were found to be implementing the systems effectively and efficiently. The managers and staff performed in compliance with the norms and standards stipulated in the organisational policies. One concern uncovered by the researcher was that managers and supervisors were confronted with limited time when implementing the systems. Staff members found to be underperforming via their performance evaluation should be involved in a staff development plan, and supervisors should ensure that the plan is implemented. Further research studies could focus on evaluating the outcomes of performance evaluations.

## Opsomming

Die prestasiebestuurstelsel behels een van die belangrikste kwessies rakende die bestuur van personeelverrigting binne regeringsdepartemente in Suid-Afrika. Die doel van hierdie studie was om die implementering en doeltreffendheid van die personeel se prestasiebestuurstelsel by die Departement Maatskaplike Ontwikkeling in die Eersterivier-kantoor te evalueer. Dit was ook daarop gemik om uitdagings wat tydens die implementering van prestasie-evalueringstelsels ervaar is, te identifiseer.

Primêre literatuur afkomstig vanaf verskillende teoretici is as uitgangspunt vir die navorsingstudie gebruik. Die literatuur het bestaan uit publikasies betreffende teorie, regeringsdokumente, vaktydskrifte, artikels, beleide en wetgewing met betrekking tot die hantering van die uitdagings van die implementering van prestasiebestuur.

Die navorsingstudie is met gebruik van kwalitatiewe en kwantitatiewe navorsingsmetodologie onderneem. Die doelwit vir prestasie-evaluering is deur die evaluering van bestaande literatuur en konsepte van prestasiebestuurstelsels nagestreef en deur dit aan regulasies wat die prestasiebestuurproses binne die organisasie bestuur, te koppel. Die data-insameling is met gebruik van 'n vraelys as instrument wat data van respondente in die organisasie versamel het, uitgevoer.

Aanbevelings is aan die hand gedoen i.v.m die formulering van 'n prestasie-evalueringskontrolelys en 'n jaarbeplanner met bygaande tydraamwerke en die aanwys van verantwoordelike werknemers om die proses van prestasie-evaluering te Eersterivier in ooreenstemming met die skedule van die hoofkantoor van die Departement van Maatskaplike Ontwikkeling te fasiliteer.

Die bevinding was dat die bestuurders en toesighouers die stelsels effektief en doeltreffend implementeer. Die optrede van die bestuurders en personeel is in ooreenstemming met norme en standaarde soos in die organisatoriese beleid uiteengesit. Een bron van kommer wat deur die navorser geïdentifiseer is, was dat bestuurders en toesighouers gedurende die implementering van die stelsels met beperkte tyd gekonfronteer word. Personeellede wat gedurende hul prestasie-evaluering onderpresteer, moet by 'n personeelontwikkelingsplan betrek word en toesighouers moet toesien dat die plan geïmplementeer word. Verdere navorsingstudies kan die klem op die evaluering van die uitkomst van prestasie-evaluering laat val.

## Acknowledgement

It is a great pleasure to express words of gratitude to the following people:

- Dr Zwelinzima Ndevu, for valuable academic support and constantly giving me feedback timeously, regardless of his busy schedule and demands.
- The management and staff of the Department of Social Development, particularly Eerste River, for opening doors by allowing me to conduct the research study in their organisation. Thanks also go to the respondents who took part in my research study for their willingness to support and share information with me voluntarily.
- My family – thank you mom, Ms Ntombentsha Nyangaza, Vuyiseka (sister) and Limnandi Tukwayo (nephew) for your continuous encouragement and support towards my studies.
- A special thanks to my friend, Nolubabalo Jokozela, for continued support and encouraging me to be focused, as well as for seeing my abilities to fulfil my dreams.
- Special thanks to my colleague, Ms Elani Tshibangu, for her support in editing my documents and never complaining when I asked for her assistance.

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B: Consent Document for Research Participants

C: A Questionnaire Administered to the Department of Social Development Eerste River Office

## List of key terms and abbreviations

<b>DPSA</b>	Department of Public Service and Administration
<b>GWM &amp; ES</b>	Government-Wide Monitoring and Evaluation System
<b>HR</b>	Human Resource
<b>IPDP</b>	Individual Performance and Development Plan
<b>KPA</b>	Key Performance Area
<b>KPI</b>	Key Performance Indicator
<b>KPS</b>	Key Performance Standards
<b>M &amp; E</b>	Monitoring and Evaluation
<b>NPM</b>	New Public Management
<b>PA</b>	Performance Agreement
<b>PERMIS</b>	Performance Management Information System
<b>PMS</b>	Performance Management System
<b>RSA</b>	Republic of South Africa
<b>SPMS</b>	Staff Performance Management System
<b>TPS</b>	Toyota Performance System
<b>UK</b>	United Kingdom

# CHAPTER 1: INTRODUCTION

## 1.1 Background/Rationale

The aim of this thesis is to evaluate the effectiveness of the implementation of performance management systems. Performance management systems are an important tool for monitoring and evaluating an organisation's performance. This study aims to address whether an organisation's use of a performance management system as an evaluation gives a true reflection of staff performance.

The Department of Social Development's local office in Eerste River is a government organisation that forms part of the Metro East Region under the provincial administration of the Western Cape. The organisation has a total of 53 staff members. The social welfare component consists of managers, supervisors, social workers, social auxiliary workers and administrators. The Department of Social Development conducts quarterly reviews twice a year to evaluate individual performance, the organisation's operational plan and to link the plan with the budget of the organisation. The employees plan programmes that are aligned with the budget and indicate the number of the target groups who are the beneficiaries of the services rendered. This performance management system is utilised as an evaluation tool for measuring the achievement of the planned programmes and to indicate if deviations were encountered during the process. Each staff member is evaluated according to their individual performance against set indicators to determine the achievement of strategic objectives and goals of the organisation. The system works on a ratio scale based on individual performance compared with expected work performance. Employees tend to focus on the outcomes of the evaluation rather than the whole process of performance evaluation.

The study will unpack the process and procedures that need to be followed and clarify what happens when there is good or poor performance of staff members. The research study will assist managers to examine gaps and challenges identified during and after the evaluation process is complete.

## 1.2 Literature Review

Brynard and Hanekom (2006:38) suggest, “A successful research depends on the proper planning and thorough review of the available and relevant literature. A literature review can be used to provide models of arguments, forms of analysis, informed questions and any information related to the field in question”. These theorists further report that a primary literature review can be utilised as a starting point of thought in a research study. The literature examined for this study is comprised of theoretical books, government legislative documents, journals, articles, policies and legislation pertaining to dealing with challenges of performance management implementation.

## 1.3 Evaluation Theory

The research aims to evaluate whether the performance evaluation systems that have already been implemented are designed according to the organisation’s needs. Examining different theories, the literature will also give guidance as to how this implementation should have been conducted. It is therefore essential to look at how the systems are designed and implemented. Babbie and Mouton (2015:335) explain that “evaluation research is the systematic application of social research procedures for assessing the conceptualization, the design, implementation, and utility of social intervention programmes”.

This evaluation theory should be aligned with the policy of the organisation and these two facets should complement each other to advise the researcher on what is really happening within the organisation. Babbie and Mouton (2015:337) identify the purpose of the evaluation: “the social intervention such as programmes, policies, new systems, schemes is evaluated for a number of reasons. Since the advent of evaluation studies, the evaluations have been commissioned for purposes of programme management, improvement and refinement, financial accountability, on public demand, to meet accreditation requirements, for purposes of quality assurance and control, and various other reasons”. Michael Patton in Babbie and Mouton (2015:337) suggests that all of these purposes can be reduced to three main reasons: to make judgment of merit or worth, to improve programmes, and to acquire knowledge. The researcher can align these abovementioned reasons with what is occurring in the Department of Social Development, Eerste River, as it uses the performance management system to control the staff performance in order to monitor progress in terms of attainment of

objectives as stated in the organisational strategic plan. The researcher is interested in how the system has been implemented and whether it serves the needs of staff, as well as the organisation.

The implementation of the performance management system (PMS) seeks to improve services to clients, as well as ensure that the operational plan is implemented. Babbie and Mouton (2015:341) further argue that when developing a programme design, it is significant to look whether the design is implemented according to its plan, does it serve the target group and having enough resources to support the implementation process. The researcher asks whether the performance management systems of the organisation speak to the questions stated above and investigate whether these can be answered by evaluating the organisational systems.

#### **1.4 Research Problem**

Creswell (2009:98) defines the research problem as “an issue or problem that leads to the need for a study”. He further states that this could originate from potential sources and “it might spring from an experience that the researchers have had in their personal lives or workplaces”.

The researcher will focus on evaluating the performance management system of the department and this system’s value within the organisation. Staff members were evaluated individually and form part of the unit of analysis to assess their contribution to the organisation meeting its mission and vision. These staff members were evaluated through the performance management system. In order to determine good and poor performance of employees, management conducts performance reviews twice every six months. The central point of this study will be to evaluate the existing PMS and determine the needs assessment of the Department of Social Development, Eerste River, in achieving its performance goals and setting norms and standards of performance.

The system is seen as limiting and subjective as it gives insufficient space to capture all the information according to achievement of planned activities in each quarter. The system is structured with few key result areas where employees can capture their information and these do not cover or justify the work done. The staff members need clarity on the performance management system as they only experience it twice every six months without prior formal

training. In addition, the department is currently facing a challenge of limited resources, such as employees sharing cars and having to accommodate each other whenever the staff members go out to perform duties. Budget cuts are a major issue as the officials find it difficult to perform the planned programmes without funding.

### **1.5 Research Question**

The research question of this study is as follows:

How effective is the implementation of the performance management system in the Department of Social Development's Eerste River office?

### **1.6 Research Objectives**

The research objectives of the study are listed below.

- To explore the underpinning theoretical view on performance management systems.
- To review the policy, regulations and legislative framework applicable to performance management systems within the public sector.
- To establish whether performance management systems are useful in improving employees' performance and to explore the benefits of using the system in the Department of Social Development.
- To review the implementation of performance management in the Western Cape Province, particularly the Department of Social Development's Eerste River office.
- To make recommendations for future research.

### **1.7 Research Design**

Babbie and Mouton (2015:74) differentiate a research design and methodology by explaining that a research design is about the plan used by the researcher when conducting the research study and demonstrates the process that needs to be followed. It can be a challenging activity

to provide a satisfactory description about how the design plan will fit in the study. The theorists further explain that there are number of changes that need to be done before approving the design to be appropriate and ready to be used. The research design is reported as putting more emphasis on outcomes or end results of the product designed whilst methodology focuses on the processes undertaken and techniques to be used in implementing the systems. The design is viewed to be a starting point which forms a link between the research problem and the research question by finding an answer for the research study and the methodology puts emphasis on tasks that needs to be done like data collection for the research study. The design seeks to find the evidence required in addressing the research problem and on the other hand, the methodology focuses on research process and the steps that will be taken by the researcher.

According to Bless, Higson-Smith and Kagee (2006:71-72), a research design “relates to the testing of hypotheses. It is a specification of the most adequate operations to be performed in order to test specific hypothesis under given conditions”. The researcher should be able to determine the central point of the study, identify the unit of analysis and indicate the time dimension of the problem to be researched and evaluated. Before the researcher conducts the study, he/she should look at the current state of the problem, what aspect needs to be investigated, the diversity of the focus group, the beliefs of the people involved in the study, as well as their attitude towards the system. The unit of analysis is basically the representatives of the sample that the researcher will be evaluating.

In this research a case study is used to give a brief history about the use of the performance evaluation system and the effects it has had on the employees and the organisation in general. The researcher interviewed managers and made use of questionnaires in collecting data. Both qualitative and quantitative research methodologies were used in designing the questionnaire. The researcher is interested in collecting data about performance management systems, starting from the time when a system is implemented up to the current status of the system. The researcher will specifically focus on how the system has been functioning and look at challenges faced by, as well as benefits to, the system.

The researcher used both qualitative and quantitative designs to discover the implementation of the performance management systems within the Department of Social Development, Eerste River. The reason for using both methods is to better understand the research problem

by obtaining the statistics of the organisation, which will be used as quantitative research tool, and to collect detailed information from qualitative research.

The study population was made up of the employees of the Department of Social Development, Eerste River office. The organisation consists of 53 employees with two managers and four supervisors. The study will explore the views of the participants by using single stage sampling to select representatives of the employees – two managers and four supervisors – who were chosen based on their availability. Stratification sampling was used to ensure that both males and females are represented. Babbie and Mouton (2015:365) state that Evaluation design has to consider the evaluation team by giving them an opportunity to provide on-going feedback and clarify uncertainties during the research study processes. Formative evaluation can be used by the evaluation researchers to monitor and establish implementation measures of the study, giving feedback to everyone involve in the research study. Validity and reliability of the information needs to be tested in order to recognize the study to be having credible information. The evaluation design will be useful in analysing the implementation as well the organisation's progress with regards to performance management systems.

### **1.7.1 Research design and methodology**

As mentioned above, both qualitative and quantitative designs were used for the purpose of this research study. The researcher made use of qualitative design because it is highly flexible as the data collection is on-going and occurs simultaneously with data analysis. This allows the research plan to be altered as needed (Krysiak & Finn, 2010:102). Bergh and Theron (2009:440) explain that the qualitative research method “is executed by analysing and classifying data into themes in a more subjective way based on behaviour observation and by analysis of written and spoken language”. According to Blaikie (2003:47), “qualitative methods are used when data are in words and remain in words throughout the analysis”. The researcher made use of quantitative design in collecting data and analysed the concepts of the literature by reviewing theorists' ideas concerning the research topic. The data collection method of a questionnaire has been selected to obtain information from the participants (Cooper & Schindler, 2006:245).

### **1.7.2 Quantitative methodology**

The researcher utilised quantitative methodology by making use of a case study and questionnaires when gathering data from the Department of Social Development, Eerste River. A case study is a useful element in giving a brief background of the organisation and describing how the performance management system is utilised, evaluated and implemented within the organisation. A non-empirical study, such as a literature review and conceptual analysis of the meaning of words, is also be used; hence, the researcher will follow all theoretical probabilities of literature about performance management systems.

### **1.7.3 Qualitative methodology**

Qualitative research methodology was used to understand the concept of a performance management system. The researcher used to be an employee of the organisation and will therefore be able to give a clear analysis of the performance management system from her personal experience. The researcher will make a constructive judgment and ensure validity of the information by contacting the relevant sources of information. The policy of the organisation will be utilised as a primary source of information that guides how the process should be conducted.

### **1.8 Timeframe**

The timeframe of the study can be detailed as follows:

- 15/12/2016: Organise sources that clearly define and explain the performance management system as a theoretical concept, as well as evaluate the literature review.
- 01/02/2017: Review the policy of the Department of Social Development under the Western Cape administration and analyse its stated regulations about performance management systems.
- 13/10/2017: Conduct an interview and collect data from managers and staff to draw up a case study about the organisation's current circumstances with regards to performance management systems.
- 13 and 17/10/2017: Analyse data collected through the use of questionnaires about the implementation of performance management systems within the organisation.
- 16/10/2017: Make recommendations about the study.

## 1.9 Outline of Chapters

### Chapter 1: Introduction/Background

The aim of the study is to evaluate the effectiveness of the implementation of performance management systems. The researcher has an interest in conducting the study in her workplace: the Department of Social Development Eerste River. This will be used as the case study.

#### Problem statement

The employees of the Department of Social Development, Eerste River office, will be used as the unit of analysis to investigate whether their performance contributes to the mission and vision of the organisation. Objectives and goals set by the management of the organisation will be reviewed to reveal whether they are linked to performance and achieved during the review period. This is in order to evaluate the processes followed by the managers and their alignment with the theory and organisational policies.

#### Definitions

The definitions of performance, performance management and performance management systems will be further discussed in Chapter 2.

#### Summary

The introduction of Chapter 1 has focused on what the study aims to achieve, problem statement, research question, objectives and the methodology to be used in this study. The layout of chapters is indicated in Chapter 1 in order to understand how the study will be conducted.

## **Chapter 2: Literature Review**

### Introduction

Chapter 2 contains discussions about the concepts of performance, performance management and performance management systems and their significance within the organisation, particularly for understanding and evaluating work done by the employees in achieving goals of the organisation. It further explores best practises for managing performance, as well as the implementation process of the PMS.

### Summary

Chapter 2 gives an overview of the theoretical framework pertaining to performance management systems and reviews the theoretical perspectives of different theorists on PMS. It is used as the foundation of the study to guide the process and identify the link with organisational practices of the organisation's employees.

## **Chapter 3: Regulations/Legislative Framework**

Chapter 3 focuses on organisational policies that guide the processes within the Department of Social Development Eerste River.

### Summary

This chapter covers the legislative framework guiding the process of performance management systems within the organisation. It analyses how policies are implemented and their benefits to the organisation.

## **Chapter 4: Data Gathering, Analysis of Data and Findings**

Chapter 4 focuses on collecting data via the questionnaire and analyses and interprets the findings for the purpose of this study.

### Summary

The purpose of Chapter 4 is to evaluate the understanding of performance management systems within the organisation. It also aims to analyse data and findings from the information collected from staff in order to determine whether the objectives of the study have been achieved.

## **Chapter 5: Overview of Chapters and Recommendations**

The researcher gives a brief overview of each chapter and links these with the objectives of the study. Recommendations are given to improve PMS and service delivery within the organisation.

### Conclusion

The research question and objectives of the study are discussed in order to understand the processes and PMS of the organisation. Literature and legislations are examined to guide the researcher when conducting the study. Data gathering is done with the use of a questionnaire to collect information from the staff of the organisation. Finally, the researcher makes recommendations to improve the PMS of the organisation.

## **References/Bibliography**

This section indicates the terms of reference for the information used in conducting this study.

## **1.10 Summary of the Research proposal**

Chapter 1 contains the introduction to the study. It determined the problem statement, anticipated the research questions and indicated the objectives that the study intends to achieve. This chapter highlights the important aspects of the study and gives a description of the research methodology to be considered. It also specifies the layout of chapters in the research study.

The focus of the next chapter will be to give an overall understanding of what performance, performance management and PMS involve. The chapter will also detail the important concepts of the study with regards to PMS.

## **CHAPTER 2: THEORETICAL BACKGROUND**

### **2.1 Introduction**

This chapter provides an overview of the factors required for performance, performance management and the performance management system (PMS). It provides the conceptual aspect of the study through a revision of theoretical studies on performance management. Detailed information is provided that identifies the significant dimensions of the concept of performance management and which distinguishes between organisational performance and human resource performance

This chapter further investigates the gradual development of the above-mentioned performance factors utilised by government in the public sector. It shows that effective service delivery requires performance management within the public sector organisation. Finally, it importantly describes the design and planned developments of performance management systems within the public sector by considering best practices, such as tools, models and relevant techniques for governing PMS implementation.

### **2.2 Theoretical Concepts of Performance and Performance Management Systems**

It is important to explore the different conceptual views of performance management before determining how a performance management system should be implemented in public institutions. The intention of this section is to clarify the different concepts of performance management for the purposes of the research study. The key definitions of performance will be defined in the sections below.

#### **2.2.1 Performance**

According to Van der Waldt (2004:37), performance refers to the results achieved by doing work properly. The definition of performance does not only focus on human resources but includes the processes taken, as well as the main functions of the organisation. Thomas (2004:12) has the same opinion, as he indicates that performance entails all the interaction

processes, activities, programmes and projects that people are involved in and that concern the organisation's performance.

Rodgers (1994:21) has the same understanding of performance and states, "it is the measurement of outcomes of work for stating that it provides the strongest linkage to organisational strategic goals, customer satisfaction, and economic contributions". Holbeche (2005:243) and Van der Waldt (2008:8) both utilise an inclusive method when discussing performance as "the integrated, systematic approach to improve organisational performance to achieve strategic objectives and to promote its vision, mission and values". This study uses a legal, operational or working definition. It is clear that these theorists have similar views as they differentiate organisational performance and human performance as ways of assisting the organisation in improving delivery and quality of services to clients.

Boxall, Purcell and Wright (2007:366) state that performance is "a behaviour or action relevant to the attainment of organisational goals that can be scaled and measured". Johnson, Penny and Gordon (2009:2) add, "Performance is a sequence of responses aimed at modifying the environment in a specific way". They assert that performance can be evaluated as oral assessment and demonstrations.

The definitions above give a clear picture of performance as being about achieving the goals of the organisation or individual staff member. Basically, the goals occur intentionally as they are planned and do not just happen accidentally. Therefore, they can be measured. For the purpose of this study, the researcher will make use of Van der Waldt's (2006:133) perception as it focuses on dualistic or dichotomous, performance aspects.

### 2.2.1.1 Eight performance dimensions

Van der Waldt (2006:133) establishes eight performance dimensions as relevant to the performance and performance management systems' implementation challenges in this study. These dimensions enable an understanding of the process of improving organisational performance and clarity is provided as to how these dimensions cause confusion about various definitions of performance. According to Van der Waldt (2008b:8), the performance dimensions assist us "to understand a great deal about the process of improving organisational performance". Van der Waldt (2008b) explains that there is some confusion when defining the concept of performance, as "it depends on which dimension you focus on". These significant eight dimensions are:

- ***Modification of perceptions and attitudes:*** This dimension aims to take care of attributes like changing quality emotions, beliefs, values and attitudes of people by increasing the information flow. This is accomplished through the explanation of policies, instituting staff meetings, keeping open doors and using other relevant and effective communication systems.
- ***Modification of the authority systems:*** This comprises the dimension whereby the responsiveness of management and authority relations, decision-making processes and communication mechanisms are enhanced.
- ***Structural reorganisation:*** This includes changing items, such as the structural size of the unit, staffing procedures, physical arrangements and budgeting systems.
- ***The process of measurement and evaluation:*** This process includes setting goals, objectives and targets, measuring progress and evaluating results through such practices as the implementation of management by objectives, management information systems, as well as programme planning and budgeting.
- ***Modification of work methods through technology:*** The modification of work methods through technology involves changes in equipment, work methods, control systems, form and tracking devices, as well as work and reporting processes.
- ***Retraining and replacement of staff:*** This dimension entails teaching new skills as the result of redefining duties, responsibilities and job qualifications for human capital.

- ***Modification of the workflow:*** This includes the rearrangement of units of work or jobs in such a way that the sequence of workflow is changed.
- ***Introduction of new innovative programmes:*** The introduction of these programmes involves factors such as the introduction of new products or services. It is the final dimension of change to improve performance.

The above dimensions emphasise the importance of a positive attitude towards working with systems, as well as restructuring the organisation to meet the goals and objectives as stipulated in the operational plan. It has been clearly noted that the staff development programme teaches new skills to personnel in order to gain knowledge and is of benefit to employees and the organisation at large.

The following section will describe performance management systems from a broader perspective. It is relevant to the study to understand performance management concepts and how different authors view performance management. The focus will be on organisational design and the management of an employee's performance (human resource management).

## **2.2.2 Performance management**

According to Fernandez (2005:261), performance management is “an integrated system that involves institutional design, work planning, assessments, and feedback designed with a view to maximising performance at the individual and team levels in motivating and developing staff”. Torrington and Hall (2009:100) have a different view of this, stating, “Performance management is a framework in which performance can be directed, monitored and refined by human resources, and that the link can be audited”.

Thomas (2004:3) defines performance management as “a subjective, value-driven activity taking place in the environment that recognises and accommodates competing values, interests and demands to define the public interest that upholds ambiguity, contingency, plurality and controversy”. Swanepoel (1998:111) has a similar idea to Van der Waldt (2004:29), who defines the performance management concept as the strategy used in managing employees, developmental planning and monitoring the outcomes of the work done

for a specific project. The above authors focus on the human dimension of performance management.

Thomas (2004:8) identifies the following aims of performance management, which are relevant to this research study:

- Enable the organisation to clarify its goals, steps to be taken in achieving those goals and to highlight expectations from the staff and organisation.
- Assist the organisation in learning a strategy to be used for accomplishing goals effectively.
- Help the organisation to communicate its priorities.
- Support the organisation's strategic planning and link operational guidelines to outputs and outcomes of the organisation.
- Support discussions on budget and allocation of resources.
- Monitor improvements to programme operations.
- Motivate employees in the public service to do their work with pride and have a positive impact on people's lives.
- Enable citizens to make informed decisions when using public service programmes.
- Restore confidence to obtain value for money when spending public service funds.
- Assess whether the organisational goals are achieved.
- Strengthen the administrative skills of public servants and their accountability to external political structures.

As stated by Isaac-Henry, Painter and Barnes in Van der Waldt (2004:44), performance management is “a basic element which is concerned about adding value in the management process in order to enable good productivity and indicate the relationship between resources utilised for a particular outcome and to deliver good services within the organisation”.

Performance management is concerned with the quality of services and the intention of all work done within an organisation. Effective performance management is clearly expressed by Williams (2002:12) as the vision of the organisation which seeks to establish the key result areas, measuring objectives of the organisation with key performance indicators and layout the key processes to be followed during the performance evaluation. The processes to be considered are the costs involved, time spent and service delivery in order to have a proper monitoring of the performance functional areas.

The Department of Social Development, Eerste River, has a process that it should follow when managing people's performance within the organisation. The managers and the staff members should also make use of the objectives set in the operational plan, which is the starting point and measure the goals achieved during the reporting period. Van der Waldt (2004:39), who explores performance management, views it as "the range of processes, techniques, systems and methods used to or designed to manage and develop performance at the level of public service, specific organisations, components, teams and individuals to achieve improvement".

Van der Waldt (2004:40) further explains performance management as having elements that need to be followed sequentially, such as planning the goals of the organisation and then giving allowance for the staff to perform at their best. In this study, the process is followed as employees are advised of the performance standards and the measuring and recording of the performance evaluation outcomes. He indicates that supervision is used as a system to monitor performance and identification of problems during the performance appraisal and plans are made for corrective measures of problems encountered during the evaluation period of employee performance within the organisation.

Bouckaert and Halligan (2008:100) are of the view that performance management "establishes a full programme of managing performance, where performance information is systematically and coherently generated and utilised". Kanyane and Mabelane (2009:60) support this view and state, "performance management may be regarded as an on-going process that determines the planning, managing, reviewing, rewarding and development of performance".

Armstrong (2006:3) emphasises that performance management is more concerned with the results achieved through using people. Swanepoel (1998:111) agrees and views performance management as “a management approach in managing people which involves planning an employee’s performance and facilitates the achievements of goals through the work done by employees within the organization”. Van der Waldt (2008:9) is also of the view that performance management is a method used to monitor staff performance. Therefore, in the context of this study the term performance management will be defined as the systems through which organisations set work goals, determine performance standards, assign and evaluate work, provide performance feedback, determine training and development needs, and distribute rewards (Varma, Budhwar & Angelo, 2008:15). This relates to the Department of Social Development, Eerste River, as management involves employees in planning employee performance and monitoring the achievement of set goals.

The implementation process of performance management in an organisation usually includes people who are expected to be productive in ensuring that the mission and vision of the organisation is accomplished by working towards achieving the goals and objectives of that organisation. This process implies pressure on the employees, as they will be evaluated against the set goals of the organisation – whether these have been achieved or not – as well as take full responsibility for any deviations.

From the above-mentioned definitions, performance is “a process not an event, which is integrated with other management processes and is continuous”. Therefore, there should be regular communication between supervisors and employees. The supervisor should define clear expectations for the employees concerning tasks to achieve organisational goals and be able to monitor and evaluate work performance. The supervisor should ensure that employees receive feedback on how each individual staff member have performed in each quarter.

This study adopts the understanding of performance management as a process of cascading an organisation’s target and goals to employees with the purpose of enhancing service delivery. This enhancement should be achieved by ensuring that each and every individual employee in the organisation signs a performance agreement containing clear responsibilities, as stipulated in a job description. The supervisor and the supervisee should both sign the agreement and indicate how the goals will be achieved within a stipulated timeframe. During the period of reviews, both parties should meet regularly to monitor and evaluate progress.

Although this study focuses on organisational performance, it is clear that performance management includes organisational, as well as human resource performance. Performance and performance management have been clarified in the above sections. The next section will explore performance management systems by looking at different theoretical ideas.

### **2.2.3 Performance management systems**

Theorists provide definitions of the performance management system in order to validate what should happen during utilisation of the system as a measuring tool of performance. Bacal (1999:25-37) states “performance management needs to be viewed as a system that operates within a larger system”. He defines the system as having component parts that interact and work together in an interdependent way to accomplish something. He mentions performance planning as a component of the performance management system, which refers to a manager and employee working together to identify what the employee should be doing for the period being planned, how well the work should be done, why it needs to be done, when it should be done and other specifics such as level of authority and decision making for the employee. It is on-going performance communication that is a two-way process to track progress, identify barriers to performance and that gives both parties the information needed to succeed and prevent problems. Problems include data gathering, observation and documentation about the performance of the organisation or individuals for the purpose of improving this performance. The performance appraisal meeting is a process whereby the manager and employee work together to assess the degree to which the employee has attained agreed-upon goals and then to overcome any difficulties encountered. The performance diagnosis refers to the process of problem solving and communication used to identify the real underlying causes of performance problems. Coaching refers to a process through which a person who is more knowledgeable on a particular issue works with an employee to help him or her to develop knowledge and skills in order to improve performance.

It is significant to ensure that the employee’s individual performance is linked with organisational goals and objectives, as well as the performance of duties in the annual operational plan of the organisation. Jorm and Agere (2000:66-67) mentioned that the performance management systems are used to link individual performance to the organisation’s productivity through the achievement of the planned goals. They further explore the systems by defining objectives as having knowledge of what you want to achieve.

Jorm and Agere (2000) reported that you can measure performance by having a clear time frame of when do you want to meet the goals and what processes to be followed. Performance is reported as being aligned to budget by planning the goals according to the finance available to purchase resources needed. The theorists emphasise the importance of having an on-going feedback about activities done and progress.

Each and every organisation is governed by a code of conduct and regulations. Managers play a crucial role in guiding employees when performing their duties. Jorm and Agere (2000:68-70) suggest, “The components to be included in the performance management systems include policies, processes and documents. A performance management policy is generally formulated to set the rules for the performance approach. The development of the policy will set boundaries for the system and ensure appropriate integration with other systems. Performance management processes govern the flow and timing of information and actions relating to the performance management system. The key performance management documents generally include the performance management policy document, which is part of the organisation’s policy manual, a user guide for each employee and an annual appraisal form”. The above-mentioned authors emphasise the importance of using policies as the guiding principle when managing performance.

The study also focuses on highlighting the significance of performance management systems within the organisation and linking these with the appraisal systems utilised when evaluating staff performance within the department. Carter, Giber and Goldsmith (2001:393) point out that “Performance management systems in most organisations are controversial, ineffective and constantly under construction. They are so problematic that critics argue many organisations would be better off if it simply didn’t have a performance management system”. The author clearly mentions the importance of using an appraisal system as a way to encourage and motivate staff to be productive with the knowledge that there will be incentives for good performance. The researcher is of the same view as the author that staff needs supervision and on-going counselling through consultation to discuss the challenges that employees encounter during and after a performance appraisal.

The performance management system is utilised as a tool for evaluating individual staff progress and has direct impact on organisational performance. Carter, Giber and Goldsmith (2001:394) further argue, “The performance management system needs to be driven by the business strategy and the senior management of an organization. Without leadership at the

top and senior management group that models good performance appraisal behaviour, it is impossible to have an effective management performance management system. Senior management must see it as a critical tool in implementing their management style and the organization's business strategy". The researcher is in agreement with the author's views about the critical leadership role that is played by the managers in an organisation. It often happens that when leaders fail to guide staff members, the organisation will fail to meet its objectives as laid out in the operational plan.

There are different perceptions from staff members, as well as managers with regards to how the system should work. McCourt and Eldridge (2003:255) explain "a weakness of performance appraisal is that it is too easy for managers and employees to collude in the notion that it is the one and only time in the year when the supervisor and staff members have to discuss performance". This relates to what the researcher observed: there is a lack of on-going communication between staff and managers that hampers the effectiveness of the performance management system. Swanepoel, Erasmus, Van Wyk & Schenk (2003:382) clearly state that performance management systems "should assist and empower the line management to implement the strategy and objectives of the organisation successfully".

In the public sector, accountability is one of the most important characteristics required from each individual employee to ensure that resources are used optimally. This is done by means of on-going reporting between employee and supervisor. De Bruijn (2007:8) mentions that the organisation gets an opportunity to be transparent to the service users by making use of performance measures and clearly indicate what costs will be needed in achieving the goals of the organisation and analyse whether services (output) worth the costs involved. De Bruijn (2007:8) defined learning during this process when the organisation is able to identify its strengths and weakness in order to improve service delivery. Appraisal of staff performance has been indicated as a way of appreciating the outstanding performance of the staff in ensuring that the services are delivered efficiently and effectively. Good performance is reported as being positively sanctioned whilst underperformance needs corrective measures.

The staff needs assessment and continuous support when performing their duties by ensuring that employees are enrolled in skills development programmes, particularly if the staff members are lacking in terms of performance. De Bruijn (2007:3) explains, "The performance management idea is that the professional organizations provide services and their performance output is measured. The organization demonstrates performance which

may improve its effectiveness, efficiency and legitimacy”. The employees can perform well when there is enough support from managers by having consultations to update each other about the on-going progress of the staff member as an individual, as well as the progress of the organisation in moving towards achieving goals and objectives.

According to Armstrong (2009:95), PMS is “a set of interrelated activities and processes that are related holistically as integrated and key components of the organization’s approach to managing performance of employees through developing the skills and capabilities of its human capital, in order to enhance organizational capability and the achievement of sustained competitive advantage”. For the purpose of this study, the term performance management systems will be used as an overarching concept for conducting performance appraisals, setting goals, communicating expectations, observing, documenting, giving feedback and helping employees to develop their own skills (Manyaka & Sebola, 2012:302).

The senior managers have a particular role of compliance and ensuring that the performance agreements, as well as reviews are completed within the stipulated timeframe as set by the organisation, which also requires compliance amongst the employees. Cameron (2009:929-930) states, “The Public Service Laws Amendment Act introduced performance management in South Africa. The PSR of 1999 gave performance management more flesh. The concern was about low level of compliance in signing of performance agreement by senior officials”. Performance agreements should be signed as there are disciplinary actions that can be taken when the managers failed to comply. South Africa has many policies that support the implementation of performance management systems and appraisals of which a performance bonus forms part. Employees are evaluated by managers to determine whether their performance qualify for performance appraisal. The performance management systems are guided by policies that are also aligned with the literature in terms of explaining how the process should be conducted.

The performance management system is seen as a system that is made up of different components; therefore, it is interconnected to other parts of performance management and is not seen as a standalone system. Before the system is implemented it should be affirmed as an answer to a problem that has occurred within the organisation; hence a policy mandate will be issued to deal with that particular problem. Minnaar (2010:36) explains, “Performance consists of performance planning, performance activation, performance monitoring and

performance evaluation”. Performance planning is a defined process whereby the organisation uses strategies to implement the policy mandate. During this process the author emphasises the importance of setting targets and performance indicators. Performance monitoring has been identified as conducting activities and analysing how the resources have been utilised whilst applying the systems to control and monitor the progress made by the organisation. Performance evaluation is described as the process whereby the employees use the systems to assess how the indicators and targets functioned in achieving planned goals of the organisation.

Thomas (2004:10) identifies the PMS principles as follows:

- Clarifying its purpose and utilisation;
- More concern about end results;
- Its measures are limited and cost effective;
- Only using scientifically proven methods to ensure validity and reliability;
- Producing valuable information for employers and funders;
- Performance is linked with budgeting; and
- It is rooted within the organisation and is well known and supported.

Price (1997:303) identified a model of steps of implementation of PMS that can be broken down as follows:

- The organisation develops a shared vision of its objectives or a mission statement, which is communicated to its employees;
- The individual performance management targets related to the unit and wider organisational objectives are set;
- There is a regular formal review of progress towards achieving performance management targets;

- There is a review process, which identifies training, development and rewards outcomes; and
- The whole process is itself evaluated, giving feedback for memorisation and learning for changes and improvements.

It has been clearly stated that a comprehensive PMS should cover all public institutions working to achieve goals and ensure proper operation of the objectives in a strategic manner. It has been highlighted that the performance plans, which consist of employees' key result areas and performance indicators, are implemented to ensure that individual performance and organisational goals are thoroughly planned and agreed upon. This should show commitment to the tasks or activities to be done by the individual employee. Minnaar (2010:131) further argues that performance agreement should be aligned with performance plans. Performance agreement is reported as involving the nature of the system, procedures to be followed, it indicates how performance indicators will be measured in ensuring that it's achieved according to expectations and organisational goals. The theorist indicated that the code of conduct clearly highlights acceptable and unacceptable behaviour in the workplace. The employees need to go through training and orientation on policies as a guiding principle for compliance.

Groeblor, Warnich, Carrel, Elbert & Hatfield (2011:293) explain "Performance management is a process which significantly affects organisational success by having managers and employees work together to set expectations, review results and reward performance". The researcher has a similar view to that of Groeblor, et al. (2011:293), whereby managers are expected to take staff through the same process of explaining and giving clarity with regards to planning together and gaining buy-in to the goals and targets set so that the employees can take ownership of programmes and ensure that goals will be met within the stipulated timeframe. This often helps during the evaluation process, as staff members will not be surprised by what was expected of them during the course of the year or the period of reviews. The researcher is also part of a team that is being evaluated every quarter and has noticed that staff might not be certain of the processes, and only focus on the end results of the evaluation (whether it is good or bad), knowing that there are incentives, such as bonuses, attached to good performance.

The international comparison of performance management systems is very important for determining what works or not so that the Department of Social Development can improve its systems if necessary. The other issue is to look at whether the department has enough resources to deal with challenges encountered within the organisation concerning PMS. Speckle and Verbeeten (2014:134) describe that “the performance measurement systems may serve a variety of different purposes within organisations. These different varieties include incentive-oriented use, operational use, exploratory use, as well as contractibility and performance measurement use”.

**Incentive-oriented use** seeks to examine the effects of new public management by looking at consistent ways of using the performance measurement system; one of the roles in the taxonomy should match New Public Management’s views on the contribution of performance measurement to the functioning of public sector organisations. The new public management programme emphasises the role of the performance measurement system in target setting, incentive provision and rewards.

**Operational use** is similar to operational planning, which looks at the role of progress monitoring. It involves operational planning, process monitoring and provision of information.

**An exploratory use** of the performance measurement system is conceptually associated with interactive use and corresponds with strategy formation and communication of goals. The exploratory use of a performance measurement system may help to identify policy areas that are in particular need of political or managerial attention, facilitate priority setting and selective intervention and enable a purposive search for new policy approaches.

**Contractibility and performance measurement system use** is that explicit performance contracting that requires high contractibility, i.e. (1) unambiguous goals; (2) undistorted performance measures; and (3) knowledge and control of the production function.

Nath and Sharma (2014:2) describe the performance management system used in a housing department in Fiji. Their article aims to explore and provide interpretations of why performance management and measures were introduced and implemented and reveal if the indicators were appropriate to serve the strategies of the organisation. The article draws on the diffusion of innovation theory and explores the effectiveness of performance management. The research approach is qualitative in nature and uses a case study strategy,

and interviews and documentary evidence provide the empirical basis. The organisation has established formal objectives at both institutional and departmental levels and has a performance management system at both levels.

With growing pressure for commercialisation from donor agencies, the accounting and managerial practices seem to contradict the organisation's original purpose to provide housing needs for the poor. The case study extends the literature on performance management in developing countries and illuminates the deficiencies within the performance management system.

This study has implications for practitioners and researchers as it promotes a better understanding of a new public management practice technique, which, in this case, was inadequate to satisfy local housing needs. Nath and Sharma (2014:3) report "there is a debate in the literature concerning the use of performance indicators, which can become challenging for public sector entities for various reasons. Most arguments regarding challenges in the use of performance measures are predicated on the conflicting influences on public sector entities, political interferences and ambiguous objectives". Other suggested reasons are information overload, lack of management drive and control and nature of output and outcome. Although performance measures are difficult to implement in public sector entities, an understanding of these measures is important because they are valuable managerial tools if used properly.

Nath and Sharma (2014:3) note that performance management emphasises operating processes rather than outcomes and effectiveness. They further note that the requirement for outcome-oriented performance management is increasing performance evaluation activities in the public sector. The emphasis is on improving public management and program outcomes. Performance indicators are used as the most important and essential part for monitoring of programmes and employee performance. Studies on performance indicators in the public sector have suggested that performance in public entities is difficult to measure and performance indicators are difficult to construct. This outlines the difficulties of implementing performance measures in nationalised industries and the National Health Service in the United Kingdom. Nath and Sharma (2014:3) conclude that performance measures have led to a state of confusion in the National Health Service because these were concentrated on activities rather than outputs and outcomes.

The research also examines the performance management system of the United Kingdom as a first world country wherein systems have been operating for the past two decades. Arnaboldi, Lapsley and Steccolinni (2015:5) reflect that the negative effect affecting performance management is when the managers within the public sector take for granted the staff morale, their motivation to complete tasks and the human behaviour towards human resources of the organisation. This paper examines research on this facet of performance management, which traces human resource issues arising from its implementation. Diefenbach (2009:905), in Arnaboldi, Lapsley and Steccolinni (2015:5), makes the most trenchant critique of the adverse impact of New Public Management which is seen to be having a negative influence on employees by putting more pressure on staff members due to high level of reporting than work performance. This has led to job dissatisfaction and lack of motivation to continue performing well as result of dominance of managers to employees on public service staff.

Theorists have looked at the professionalism of using the system within the organisation as it involves work ethics, as well as a code of conduct on how employees are expected to behave in the work place. It has been highlighted that a performance management system does not only focus on evaluating individual work performance, it involves broader issues like setting the standard of the organisational goals and objectives in terms of what the institution is intending to achieve but making use of the measuring system to determine progress. Phago (2015:620-621) reports, “In South Africa, the Public Service Commission has sought to consider ways in which the South African public service could be professionalised”. Many of the considerations in this document have a direct bearing on addressing issues of human resource practices, whereby the building of a capable, career-oriented and professional public service that is value-driven, and also its recruitment, promotions and career paths, performance management, leadership competencies, as well as capacitation/training and funding, need to receive attention. Furthermore, in their recent auditing activities the Office of the Auditor-General of South Africa expanded its scope from the auditing of financial matters of government to considering government departments’ spending against their plans. This is a necessary consideration because, even in cases where government departments are able to account for their use of funds, this should be done in line with departmental plans. Failure to comply could render the expenditure fruitless and a waste of public resources.

The policy of the organisation guides managers on how to handle issues of good as well as bad performance. There are disciplinary measures in place that should be considered whenever a need arises and should therefore go hand-in-hand with procedures to be followed

in acknowledging or giving recognition to hard working employees. Phago (2015:621) further reports “The report of the Auditor General indicates serious weaknesses in the management of performances for these senior managers”. Two of the most important key findings in this regard are considered to be: (1) “... failure by management to take effective and appropriate disciplinary steps against officials who made or permitted unauthorised, irregular or fruitless and wasteful expenditure”; and (2) “... allegations of financial misconduct on the part of accounting officers and other officials were not always investigated”. On the other hand, the question of how scholars in the discipline of Public Administration and Management in South Africa and beyond have been engaging the performance management development system, as applied in the public service, receives due consideration. This is partly because human resource policies, HRD and the performance management development system (PMDS) are necessary interventions that seek to improve and measure employee performance where rewards for performance are encouraged, while in cases of under-performance, corrective actions should be instituted.

Van der Waldt (2004:39) shares his understanding of performance management systems as an approach used strategically to plan the organisational goals by making use of tools and techniques to review individual staff performance. He further defines a performance management system as a form of instrument used with the intention of measuring and monitoring organisational performance towards achieving its goals and objectives. These systems are reported as making provision to ensure coverage of all parts of the public organisation or institution and timeous operation of achieving the goals and objectives as set in an operational plan. It is very significant to ensure linkage of performance management systems with skills development (human resource) in order to capacitate staff with skills and involve them in training for further development. The employees might lack certain skills or knowledge to perform a particular task – this is where career development comes in.

Van der Waldt (2004:39) views the performance management system as a measuring instrument used for the appropriate achievement of goals and objectives within an organisation. In addition, the performance management system involves performance indicators by reflecting the work done, outcome results and accomplishment pertaining to the strategy designed for the purpose of improving the management and organisational performance. Van der Waldt (2004:292) further states “the purpose of performance management systems is about an overall outcome or impact one wants the system to have within the organization with specific focus on its ability to effectively achieve purposes”. The

next section will distinguish between organisational performance and human resource performance and identify the link between these two variables.

## 2.3 Differentiating Between Organisational Performance and Human Resource Performance

It is important to clarify performance as an action implemented by people within different levels of an organisation. Therefore, it is very important to consider linking organisational and human resource performance within a particular organisation.

Van der Waldt (2006:132) brings a different perception by including the three interrelated elements of behaviours, outputs and outcomes. Making use of this approach, he describes performance management as linked to a systematic approach used to improve the performance of the organisation in ensuring the achievement of its goal and objectives for sustaining its mission, vision and values. It is the responsibility of public managers to ensure that employees' results are improved and linked with corporate objectives. To ensure that this happens, employees must be encouraged to have buy-in by providing them with a clear picture and understanding of what the management of the organisation is intending to achieve to meet its organisational vision, mission and values.

Adding to the above statement, Van der Waldt (2006:133) defines performance as “a management approach to achieve the stated goals of the organisation and to improve the employees' performance in order to come up with good end results”. By making use of this approach work performance is increased and the commitment of individuals or teams is gained to achieve outputs and monitor outcomes.

Naidoo (2007:60) explores the below results of effective organisational performance management:

- Proper planning that can easily determine the purpose of an organisation in terms of the particular services rendered, as well as the goals it needs to achieve.
- Efficiency of services by using input and output aspects of the resources to deliver services.
- Outcomes and indicators that show the impact of good decisions.
- The results of goods and services provided are reflected by the experience of users in effective organisational performance management.
- Accessibility, i.e. access to good services without hindering the client.

The following steps were established by Pulakos (2009:38) to show the flow and relationship between the performance of the organisation and human resource.

- Step 1: Leaders set organisation, division and department goals.
- Step 2: Managers and employees set objectives and discuss behavioural expectations.
- Step 3: Managers and employees hold on-going performance discussions.
- Step 4: Employees provide input on their own perceptions of performance.
- Step 5: Knowledgeable rating sources provide input on employee performance.
- Step 6: Managers rate performance.
- Step 7: Managers and employees hold formal review sessions.
- Step 8: HR decisions are made regarding pay, promotions and training, amongst others.

Pulakos (2009:38) explains the steps as follows. The first step of the performance management process focuses on the development of leaders' organisational performance when setting organisational goals and using strategic planning. During the second step, managers and employees work together to set the goals and objectives of the organisation that should be achieved with a high level of cooperation and commitment of each individual employee. Thirdly, there should be on-going consultation amongst the managers and the employees to track progress, as well as identify challenges encountered during the process.

Step four involves the employees giving their own input and sharing their opinions about performance. The fifth step includes the use of experts from human resources who will give guidance on how performance should be conducted.

Step six is where managers are expected to have knowledge of rating performance. Step seven requires the management and the employees to hold reviews on what has been done. The eighth step focuses on decisions taken by human resource about individual employee performance.

Pulakos (2009:133) indicated that there are two primary activities which involve identifying performance objectives by focusing on outcomes of the employee performance in comparison with the outcomes of the managers and employees. The main goal is on organisational goals and link it with the employee's personal developmental needs to improve job performance. This study uses an inclusive definition by highlighting the objectives that should be attained after the completion of performance evaluation and indicates the timeframe for the expected outcomes.

It is evident that a wide scope of scientific investigation about the literature on performance management systems still needs to be undertaken. These investigations should include whether the PMS contributes to improvement of production and effectiveness of service delivery within the organisation. The systems are implemented with the aim of providing better services to communities by ensuring that employees are well equipped to deliver services efficiently and effectively. The reason behind introducing PMS to the public sector is to improve the performance of employees in order to achieve the goals and objectives of the organisation. The study will cover the advantages as well as disadvantages of PMS.

In summary, Van de Walde's theory (2004:40) indicates that the individual and organisation both benefit from the use of performance management systems. This theoretical view is relevant to the objectives of the study as it focuses on exploring the theoretical perspective of performance management systems, as well as establishing how useful the systems are to the organisation. In order to ensure effectiveness of the PMS during the implementation process, the management of the system should be considered as having a direct impact to the outcomes of the systems. This has been evident in the improvement of employees' professionalism in offering better services to clients, which led to a significant contribution to the performance of the organisation. The next section will summarise the chapter and analyse the theoretical perspective of this study.

## **2.4 Value of the Performance Management System to Organisations and Individuals**

Mughal, Akram and Ali (2014:115) report "all organizations' first priority is to enhance the performance of not only employees but also the performance of the whole organization". Performance management works as a bridge between the organisational strategies and results

and reviews how an employee performs his or her assigned tasks throughout whole year. This review may be on an annual, semi-annual or quarterly basis. Mughal, Akram and Ali (2014:115) also explain that the future objectives of an employee can be decided through performance management. The performance management system provides the relevant information regarding salary, compensation plans, feedback and employees' strength and weaknesses. The basic objectives of performance management are to use the information obtained through PMS to make decisions regarding strategy, administration, information, development, organisational maintenance and documentation. These objectives are detailed in the following sections.

#### **2.4.1 Strategic objectives**

Performance management systems align the goals of the organisation with staff member's goals to make employees to engage towards goal attainment.

#### **2.4.2 Administration objectives**

A performance management system is an effective way to provide more information about administrative decisions. On the basis of information obtained from the performance management system, administrative decisions, such as salary increment, retention, termination, recognition of individual performance, identification of poor performers and reward systems, are discussed.

#### **2.4.3 Information objectives**

The performance management system can remove communication gaps. Top management informs employees about their performance and guides them to work better. In case of any weaknesses in employees, top management communicates with them and provides training. Top management also informs employees of their expectations of them.

#### **2.4.4 Developmental objectives**

The feedback provided by management is also used for developmental purposes. Managers may use feedback for identifying the weaknesses of employees. This information can be used to coach employees for the improvement of performance. Through developmental objectives employees can select their career paths. In this way the employees attain proper guidance from the managers about the field in which the employees want to work.

#### **2.4.5 Organisational maintenance objectives**

For workforce planning it is necessary to have all relevant information about the performance of individuals and an organisation. During workforce planning decisions are made regarding the required employees both inside and outside of the organisation, as well as the priorities and proper allocation of human resources.

The proper utilisation of PMS gives guidance, structure and management of personnel. It is also used as measuring tool to reward good performance, while also making corrective measures for underperformance.

The Economic and Social Commission (2003:8-9) explains, “Measurement is an important principle to keep in mind, not only to measure for the sake of measuring but to establish a measurement system via the development of key performance indicators. It further reported that the purpose of measurement is not to collect data that will end up in piles of reports which nobody reads; there should be value for money that needs to be considered”. The leadership role of managers is reported as the most significant human resource in dealing with performance programs of staff within the organisation. Managers are reported by the commission as playing a vital role in guiding, encouraging as well as motivating staff to continue to strive for the best outcomes for themselves and the organisation.

The Economic and Social Commission (2003:8-9) emphasises the importance of performance measurements to ensure effective use of data collected, as well as value for time and money spent in the process. Leaders, who are the managers of the organisation, are expected to play a vital role in ensuring that staff stay motivated and are rewarded for good performance. Leaders also put corrective measures in place when poor performance has been identified with other staff members.

In short, a good performance management system has the objective and potential to increase the performance of the organisation through that of its members. The system must be supported by management, aligned with its culture, and become an on-going people management activity for it to deliver all of its potential benefits.

## **2.5 Stakeholder Management in Performance Management Systems**

Zulystiawati (2014:132) reports, “Public organization as the organization that provides the public services, does not put the main priority in gaining the profit as much as it could, the organization, which is working for the public sector maximize the focus on empowering every small potential resource for income generation for the public/ civic, differs with private organization, which is optimizing the profit with less effort and finance”. The public organisations are indicated by the theorist as being under pressure in ensuring that performance management systems are implemented appropriately within the organisation to improve service delivery. PMS are reported as being linked to the new public management strategy by considering the practice of using private organisations’ skills and techniques. This process of new public management is reported as linking all stakeholders that should deliver services to the community to come together to plan and find a central point of serving the clients without being sent to different organisations.

The managers within the organisation must plan for and negotiate explicit and implicit contracts with stakeholders and evaluate whether the plan meets the expectations of all stakeholders. The organisation’s performance measurement system must evaluate all processes based on their contribution to achieving objectives. The system, which is the heart of an organisation, should be a solution by performing the following functions:

- Helping to evaluate whether the organisation is getting expected contributions from employees and suppliers and returns from clients.
- Helping to evaluate whether the organisation is giving each stakeholder group what it needs to continue to contribute.
- Guiding the design and implementation of processes that contribute to the objectives.
- Helping managers to evaluate the organisation’s planning and implicit and explicit contracts with its stakeholders.

Performance measurement has a coordinating role, by which it directs attention to the company's primary and secondary objectives. Secondly, it has a monitoring role, by which it measures and reports performance in meeting stakeholder requirements. Finally, it has a diagnostic role, through which it promotes understanding of how process of performance affects organisational learning.

## **2.6 Motivation as a Tool for Performance Management Systems**

According to Warnich, Carrell, Elbert and Hatfield (2015:330-331), "managers and administrators of performance management systems should have a well-planned and implemented appraisal system which can contribute enormously to employee growth and enhance skills". To conduct a problem-solving interview successfully, a supervisor should assume certain roles and possess certain attitudes and skills. The following characteristics are identified as techniques to motivate employees:

- Tell and sell: Communicate evaluation and persuade an employee to improve.
- Tell and listen: Communicate evaluation and release defensive feelings.
- Problem solving: Stimulate growth and development in an employee.
- Tell and sell: Employee can voice desires to correct weaknesses, if known. Any person who desires to do so can improve.
- Tell and listen: People will change if defensive feelings are removed.
- Problem solving: Growth can occur without correcting faults. Discussing job problems leads to improved performance.

Staff can be motivated if they are engaged in organisational plans and operations. The managers and supervisors are encouraged to go the extra mile to ensure that there is on-going communication with staff in addressing issues, as well as give clarity when employees feel uncertain about evaluation. Negative thoughts should also be diffused as they might have a

perspective that a performance evaluation is focused on giving them criticism and negative feedback.

## **2.7 Summary of Chapter 2**

The purpose of this chapter was to provide an overall understanding of performance, performance management and performance management systems. This was achieved through an examination on the theory of performance and discussions based on the aims, objectives, different theoretical views, principles to be followed, procedural processes and best practices in managing the implementation of performance and performance management systems. The above will enable the study to identify possible lessons from the experiences of employees and management in the Western Cape Province, institutions and departments, which can be utilised to enlarge the scope of research. Those organisations can then be used as benchmarks for the South African experience.

Boxall, Purcell and Wright (2007:366) view performance as focusing on achieving goals of the organisation and ensuring that these are realistic and measurable. Johnson, Penny and Gordon (2009:2) support this opinion by stating that performance can be evaluated and assessed within the organisation. The above theorists describe performance as an action to achieve staff as well as organisational goals.

Nath and Sharma (2014:3) point out that performance management focuses more on processes taken rather than on the end results and effective management of human resources and resources within the organisation. Arnaboldi, Lapsley and Steccolinni (2015:5) add that a weakness in performance management systems is a lack of motivating employees and giving them all the necessary support to achieve organisational goals, as well as management of staff behaviour.

Narayanan, Vasudev, Sreedharan, Haldar, & Trivedi (n.d.) define performance as “the ability of the government to acquire resources and put these to efficient (input-output relationship) and effective (output-outcome relationship) use to achieve the desired outcomes and impacts”. Van Der Waldt (2006:131) supports the abovementioned theorists’ ideas as he refers to performance as “about doing the work, as well as about the results achieved”.

This study will be based on Van der Waldt's theoretical perspective as he clearly describes the benefits of using performance management systems for staff as well as the entire organisation. Van der Waldt points out a link between individual performance, as well as the achievement of organisational goals. The following chapter will discuss the statutory and regulatory framework governing performance management applications at the Department of Social Development in the Western Cape Province.

# CHAPTER 3: THE REGULATORY FRAMEWORK FOR PERFORMANCE MANAGEMENT IN SOCIAL DEVELOPMENT

## 3.1 Introduction

The previous chapter focused on the conceptual aspect of performance management whilst this chapter will dwell more on legislation. This chapter will cover a general overview of performance management in South Africa. It will focus on the regulatory framework of the staff performance management system (SPMS) within the Western Cape Provincial Administration, including the local offices under the political leadership of the Democratic Alliance. The researcher will analyse the implementation of performance management systems within the Western Cape Province but also look at the broader scale of how national government in South Africa has regulated the implementation process. It will indicate the operational processes of performance management by unpacking the legislative policies utilised by the organisation when guiding management in the implementation of PMS. The statutory and regulatory framework governing performance management applications will be unpacked in order to understand how operationalization occurs in the Department of Social Development.

A PMS is one of the mechanisms used within the public sector that aims to improve organisational and individual performance with a view to enhance service delivery. It introduces the development of individual performance management plans that are aligned with and support the organisational goals. It provides guidelines for the performance appraisal processes that maximise the capability of performance plans for focusing employee efforts on achieving organisational goals.

The next section will focus on the statutory framework pertaining to performance management in the Department of Social Development at large within the South African context.

### **3.2 The Regulatory Framework for Performance Management in Social Development within the South African Context**

This section will discuss the statutory framework with regards to the regulation of PMS implementation in the Department of Social Development in South Africa. It is a requirement that the Department of Social Development in South Africa follows the rules and regulations of the department when rendering services in communities. The Department of Social Development, like any other public sector, is expected to comply with the law by following the necessary procedures appropriately to improve performance within the organisation. This study examines the impact caused by services rendered by the Department of Social Development.

The exploration of the research study with regards to regulations and procedures followed by the department will be guided by the Constitution of the Republic of South Africa, which was established in 1996; the White Paper on Transforming Public Service Delivery (Batho Pele White Paper) of 1997; the Public Service Act of 1994; and the Labour Relations Act (No. 66 of 1995). One of the main benefits of the Staff Performance Management System is the way in which it establishes clear links between the overall objectives of the Western Cape Provincial Administration and its departments by looking at the individual work objectives of employees.

The staff performance management system locates performance management firmly within the strategic framework of effective human resource management and development. The systems identify, evaluate and develop staff performance so that:

- The Department's mission and objectives are achieved;
- Its values are practiced; and
- Staff benefit through clarification of expectations, recognition of their efforts, feedback on their performance, improved training and development enhanced through career planning.

Operational guidelines are developed by the legislative authorities for national and provincial departments in order to implement national legislation. The parts of these operational guidelines form the regulatory framework and include documents such as green and white

papers, regulations and official guidelines. The performance management applications are governed by the regulatory framework in all government departments and are discussed in this section. The first aspect to be explored is the Constitution of the Republic of South Africa.

### **3.2.1 The Constitution of the Republic of South Africa Act 108 of 1996**

The Act clearly points out in Section 2 that “this Constitution is the supreme law of the Republic, law or conduct that is inconsistent with it is invalid, and the obligations imposed by it must be fulfilled”. It states that everyone is equal before the law and no law or legal action or authority is above the Constitution. State officials should ensure that the Constitution is implemented effectively and appropriately whenever the need arises. It further stipulates, “within public administration there is public service for the Republic, which must function and be structured in terms of the national legislation which must loyally execute the lawful policies of the government of the day”.

According to Van der Waldt (2008a:11), “Chapter 10 of the Constitution contains specific provisions pertaining to public administration”. He points out that ethics and guidelines form part of the norms that should be upheld by public personnel in provision of services to the public.

The Constitution points out a number of principles that should be considered with regards to public administration:

- A high standard of professional ethics must be promoted;
- Resources must be utilised efficiently, economically and effectively;
- Public administration must be accountable;
- Good human resource management and career development practices, to maximise human potential, must be cultivated; and
- Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation.

The Constitution supports performance management systems as it clearly indicates that there should be physical, financial and human resources in order to ensure smooth running of the organisation.

### **3.2.2 The White Paper on Transforming Public Service Delivery (Batho Pele White Paper) of 1997**

The Batho Pele White Paper is a tool that can help achieve the goals of the organisation by improving service delivery through the utilisation of eight principles. The White Paper can also be viewed as a programme that gives guidance and direction as to how services should be performed within the organisation that can bridge imbalances of the past caused by the apartheid regime.

The eight principles of Batho Pele should guide all public institution operations in order to ensure quality of service delivery and are as follows: public consultation; service standards; service accessibility; citizens' courtesy; service information; openness and transparency; redress; and value for money in service quality and value. These principles form part of the values and objectives that are measurable by using the key performance indicators in the initiative of PMS implementation (Republic of South Africa, 1997:15).

### **3.2.3 The Public Service Act 103 of 1994**

Van der Waldt (2008a:12) explains, "the Public Service Act 103 of 1994 was enacted to make provision for the organisation and administration of the public service by regulating the conditions of employment, terms to be used within the office, discipline, retirement and discharge of members of public service and any matters connected with public service". The Public Service Act clearly points out that the performance management process is to link the broad and consistent plans of staff development, which should also be aligned with the developmental strategic goals of the public service. The main focus of developmental performance management is to indicate problem areas and giving recognition and rewards to outstanding performance within the organisation. Managers are guided by the Public Service Act, which is a guiding tool in matters concerning the assessment of staff performance and

also indicates instruments to be utilised during the process of issuing incentives for good performance, suggestions, improvements and innovations.

Van der Waldt and Du Toit (1999:384) clearly state, “the Public Service Act is used as a guiding tool to give authority to managers to ensure that there is an effective management of the public institution administration. The Act provides managers with roles and responsibilities, which involve efficient management and administration, effective utilisation and training of staff, maintenance of discipline, promotion of labour relations and proper utilisation and caring of the state property”.

### **3.2.4 The Labour Relations Act 66 of 1995**

Van der Waldt (2008a:12) reports, “the Labour Relations Act made a provision to enhance the regulations concerning the trade union and employers relations by advancing economic development, social justice and labour peace as well as democratisation of the workforce”. In Chapter 2, it was indicated that performance management has linked organisational and human resource performance by giving clarity on the expectations of the organisation and that of individual employees. The Labour Relations Act is considered as advancing this link.

Schedule 8 of the Labour Relations Act emphasises the importance of utilising the knowledge and skills of managers in dealing with the key aspects of dismissals pertaining to misconduct and ensuring compliance with code of conduct and capacity. The significant principle is to ensure that employees join a union in order to be represented when necessary and avoid issues that can cause grievances, whilst managers will benefit as they are entitled to satisfactory conduct from employees. The Act states that a newly appointed employee needs to be placed on a probation period and given the opportunity to be involved in training, guidance or counselling as these form part of requirements from the employer (Van der Waldt, 2008a:12).

The following section will focus on the policy framework that guides performance management. It will explore how the framework is relevant to the management of performance within the Department of Social Development.

### **3.3 The Policy Framework for the Government-Wide Monitoring and Evaluation System (GWM&ES)**

Since August 2006, the cabinet has approved the use of monitoring and evaluation systems by government in all spheres in South Africa. The aim of using the system is to provide reliability of data on the implementation of government programmes, to facilitate an analysis of government's performance and improve monitoring and evaluation (M&E) practices.

The Policy Framework for Government-Wide Monitoring and Evaluation (GWM&E) was developed in 2007. GWM&E is extremely complex since it requires detailed knowledge both across and within sectors of government, as well as of interactions between planning, budgeting and implementation through the entire department. The system is complicated even further when the machinery of government is decentralised, with powers and functions vested across the three spheres of government. It is this complicated intergovernmental structure with diffused powers and functions that requires strong M&E systems to promote coordination and prevent fragmentation (Republic of South Africa, 2007a:1).

The Republic of South Africa has viewed GWM&E as the system used to collect and analyse data reported in form of inputs, activities to be done, outcomes of the the evaluation process and its effects on external factors supporting performance management. It intend to give feedback to managers, decision makers of the system and organisations involved in the implementation of performance evaluation. (Republic of South Africa, 2007a:1).

It further reported the GWM&E as regarded to be a set of the structures of the organisation, standards, processes reporting tools to be accountable to government at national and provincial level. These systems are perceived to be influential on decision that needs to be taken concerning service delivery of the organisations dealing with performance evaluation (Republic of South Africa, 2007a:4). The performance evaluation is done within the specific period of once every quarter. It is an opportunity whereby the staff, as well as managers, account for work done, taking full responsibility of resources used and whether the outcomes were efficient and effective towards achieving the goals of the organisation.

### **3.3.1 Monitoring and evaluation principles**

According to Republic of South Africa (2007a:3), the principles of monitoring and evaluation taken from the Policy Framework for Government-Wide Monitoring are:

- It should contribute to improved governance: This includes that all findings of the M&E should be publicly available, and resources used and participants should be open to public scrutiny.
- M&E should be rights based: All M&E processes should be observant of the promotion of a rights-based culture.
- M&E should be development-oriented: Nationally, institutionally and locally it should be pro-poor and observe aspects of service delivery, performance, learning, human resource management and impact awareness.
- M&E should be undertaken ethically and with integrity: All aspects of confidentiality, respect, representation of competence and fair reporting should be maintained.
- M&E should be utilisation oriented: Strategic needs and knowledge should be well-defined and meet expectations.
- M&E should be methodologically sound: Consistent indicators, appropriateness and triangulated methods should be used for sound results and results should be data/evidence based.
- M&E should be operationally effective: The benefits of M&E should be properly planned; its scope well-orchestrated and it should be cost effective and systematic.

### **3.3.2 Implementation of the government-wide monitoring and evaluation system**

According to Republic of South Africa (2007a:17), there are various institutions that oversee the implementation role of this system by making use of good compliance with legislation. This process involves the presidency, which follows the mandate of the Constitution in coordinating, monitoring, evaluating and communicating government policies and programmes to ensure acceleration of integrated service delivery.

### **3.4 The National Treasury's Framework for Managing Programme Performance Management Information**

Republic of South Africa (2007b:13) clearly stipulates that the Framework for Managing Programme Performance was established with the aim of educating institutions and stakeholders about performance management systems. This process involves indicating the link between performance management information and the Government-Wide Monitoring and Evaluation System (Republic of South Africa, 2007b:13). The public institutions are reported as introducing the system of performance information to acknowledge the good performance of employees who performed well as reflected by the indicators of performance monitoring and evaluation. This programme has indicated a need for capacitating managers to use performance information appropriately (Republic of South Africa, 2007b:13).

The previous section reviewed the statutory component, whilst the following section will focus on reviewing the regulatory framework governing performance management applications.

### **3.5 Application of Performance Management Systems at the Social Development Department in Western Cape Province and its Local Offices**

The purpose of the Staff Performance Management System is to provide a strategic framework within the Department of Social Development in order to develop an optimal fit between the needs of the employee, work activities and the organisation. Employees can reach their desired level of performance and job satisfaction by meeting the needs of the province through the following activities:

- The introduction of an effective performance and performance appraisal system and the use of incentives to reward the individual, as well as the team performance and to proactively remedy unacceptable or poor performance;
- Basing career and career advancement on performance rather than seniority or qualifications;

- Identifying individual development and capacity building needs; and
- Enhancing service delivery.

The performance management system performs the following:

- Plans work setting expectations;
- Continually monitors performance;
- Develops the capacity to perform;
- Periodically appraises or rates performance in summary manner; and
- Rewards good performance.

### **3.5.1 Four key elements of performance management**

1. **Planning:** Setting goals and measures. Establishing and communicating elements and standards. Concluding written agreements with realistic key measurable objectives.
2. **Monitoring:** To measure performance, provide feedback and conduct progress reviews.
3. **Developing:** Addressing poor performance within the organisation and improving good performance of employees.
4. **Appraisal:** To summarise performance of the employee and reach an agreement on ratings.

### **3.5.2 Policy statement of the Western Cape Province**

The policy statement of the Western Cape Province is as follows:

To manage performance in a consultative, supportive and non-discriminatory manner in order to enhance efficiency and service delivery.

### **3.5.3 Scope of application**

The Western Cape Provincial Administration appointed each employee in terms of the Public Service Act, 1994 as amended, and is subject to the Staff Performance Management System.

### 3.5.4 Principles of the staff performance management system

According to Masango (2000:66) effective performance management system involves targeting key performance areas, standard performance and evaluating systems. Levin (2005) underpins that performance values are non-negotiable. The Western Cape Provincial Administration stipulates that the Staff Performance Management System should be:

- **Fair, objective and transparent.** The system requires joint discussion and mutual agreements of performance agreements and encourages discussions between the employee and supervisor.
- **Results oriented.** Performance is assessed on the basis of an agreement plan covering a specific period, clearly setting out the responsibilities and objectives to be achieved.
- **Active participation of supervisor and employee.** Each employee will jointly develop an individual performance and development plan and enter into a performance agreement with his or her supervisor.
- **Employee development.** The Staff Performance Management System will identify strengths and weaknesses of an employee in terms of the skills competencies required in meeting mutually agreed performance objectives.
- **Incentivising.** Employees should be rewarded for the recognition of their performance.

### 3.5.5 Performance management process

According to Van der Waldt (2008a:12), the Public Service Regulations Act of 2001, as amended, should aim to ensure that performance management is linked with the cycle of learning about formal performance management and the development cycle that is completed each year. The cycle has three facets:

- **A performance agreement** between a designated supervisor and an employee, which links the employees' work plans to the goals of the operating unit or section and ultimately that of the organisation at the start of the cycle.

- **A continuous process of review** with four progress review meetings between the supervisor and an employee during the course of a year to review achievements, training and development needs, agreements and to give feedback.
- **A performance appraisal** at which achievement is formally appraised in terms of the agreements made in the course of the cycle.

Van der Waldt (2008a:12) establishes that the Public Service Regulations Act of (2001) as amended, Chapter 1 Part VIII stipulates, “it is required that the executing authority should determine in consultation with their departments, a system that links individual performance to organisational goals”. It determines that public service should aim within financial constraints to support efficient and effective service delivery and provide appropriate incentives for employees. It emphasises the importance of constructing an individual performance and development plan. It also stipulates that it is the responsibility of the supervisor to manage, monitor and evaluate his or her employees’ performance on a continuous basis with a view to provide feedback to the latter and contribute to the achievement of departmental objectives. The Individual Performance Development Plan is an agreement between the supervisor and an employee for a performance management cycle and has the following steps:

- **Step 1: Agreeing on a job purpose.** This process entails a statement on the purpose of a job, indicating how it contributes to the goals.
- **Step 2: Agreeing upon key performance areas (KPA’s).** These are areas of activity with a specific focus on the job and the strategic plan for any performance management cycle.
- **Step 3: Agreeing upon performance objectives or outputs.** An effective performance objective within a KPA should be verifiable, specific, challenging and owned.
- **Step 4: Agreeing upon key performance standards (KPS).** KPS are agreed measures of achievement within key performance areas and can be expressed as observable behaviours that will indicate that a job has been done well. Performance

standards specify the desired level of performance of objectives or outputs and must be measurable, focus on efficiency and define acceptable performance.

- **Step 5: Agreeing upon skills required and a training or development programme.** The supervisor and staff member need to agree upon the necessary skills to attain the desired objectives and the level of competency required. Any skill gap needs to be bridged by agreeing upon a training or development programme.

The Constitution of the Republic of South Africa of 1996 and the Public Service Act of 1994 as amended assign the Premier the responsibility of managing the career incidents of the department. The Premier may thus direct certain transversal matters be included as key performance areas in the performance agreements of this cadre. The performance agreements of the department are regulated in terms of the Public Service Commission of the Bargaining Council Resolution No 13 of 1998. Performance agreements are developed with the following aims:

- Assist senior managers to define key responsibilities and priorities and provide measures for assessing success;
- Encourage improved communication between senior managers and their supervisors; and
- Enable the executing authority of a senior manager to assess the senior manager's work and provide adequate support.

### **3.5.6 Review and appraisal processes**

A key element for the Staff Performance Management System is the reviewing of progress in terms of the achievement of goals and objectives set with an individual staff member. The supervisor will monitor the work and provide assistance whenever necessary on a continuous basis, at formal occasions and, if required, give feedback with regards to progress and remedial action. Poor as well as good performance will be identified and dealt with according to the organisation's processes and procedures. Reviews should be conducted four times a year. Good performance can be rewarded and poor performance corrected with the staff members involved.

### **3.5.7 Dealing with poor performance**

An employer should provide a performance improvement programme by utilising remedial and systematic support. Training and development programmes should be agreed upon between supervisor and employee. Programmes should be relevant to each particular employee's needs and the component responsible for human resources matters should be consulted. Any specific matters of concern to the progress of the employee and which could affect the organisation negatively should be considered.

## **3.6 Summary of Chapter 3**

In this chapter the legislative and policy regulations were discussed, which covered the national government and the provincial Department of Social Development in the Western Cape, which includes the Department of Social Development, Eerste River office. Performance evaluation has been the most important aspect as it looks at how the organisation implements and benefits from using the system and links it to individual performance evaluation by discovering whether the goals and objectives have been accomplished as stipulated in the operational plan of the organisation.

The public sector is obliged by law to implement performance management systems, which are used as a tool to evaluate performance, as well as effective and efficient service delivery within the organisation. The system should be implemented based on specific requirements, but also provides leeway for management's discretion on what they view as good or poor

performance. The next chapter will discuss the data-gathering process and outcomes of the collected data, as well as analyse and interpret this for the purpose of the study.

## **CHAPTER 4: IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYSTEM AS A TOOL FOR PERFORMANCE EVALUATION: EMPIRICAL FINDINGS**

### **4.1 Introduction**

This chapter will explore the research design, methodology and how the data was collected, analysed and interpreted. A questionnaire consisting of 30 open- and closed-ended questions was used as a measuring tool to obtain information from the respondents. The questionnaire looks at the perceptions that the staff has on PMS and the regulations or policies guiding the process. It dwells more on empirical findings obtained from managers, supervisors and staff at an operational level. Social workers are the participants in this study and express their views with regards to the current status of implementing performance management systems within the Department of Social Development, Eerste River. The discussion of this chapter involves procedures for the implementation of performance management systems within the organisation and explores its challenges. It highlights the results of the analysed data received from the respondents' feedback.

The purpose of performance management policies is to ensure that managers within the organisation have guidance with regards to the implementation of the performance management systems and to ensure that processes are aligned with policies. The common goal of using the policies is to reach the desired goals and objectives of the organisation as stipulated in the operational plan by linking it to individual staff performance activities. This process of performance management systems appears to be one of monitoring and evaluation. These aspects led to an examination of the following research problem.

### **4.2 Research Problem**

According to Creswell (2009:98), the research problem is “an issue or problem that leads to the need for a study”. He further states that it can originate from potential sources. “It might spring from an experience that the researchers have had in their personal lives or workplaces” (Creswell, 2009:98). In this case the department is currently facing a challenge of limited resources.

The researcher would like to focus on evaluating the performance management system (PMS) of the department and its value within the organisation. The staff members of the organisation will be evaluated individually and form part of the unit of analysis to evaluate the contribution employees bring to the organisation in meeting its mission and vision. The staff members of the organisation will be evaluated through using the questionnaire to test their knowledge and perceptions on performance management system. Management conducts performance reviews twice every six months in order to determine good and poor performance of employees. The central point of this study will be to evaluate the existing PMS and determine the needs assessment of the Department of Social Development, Eerste River in its achievement of performance goals, and its setting of norms and standards for performance.

### **4.3 Aims of the Study**

The aims of the study are as follows:

- To evaluate the implementation of a performance management system.
- To use the questionnaire in addressing whether the organisation's performance evaluation process gives a true reflection of staff performance.
- To evaluate whether the programmes have been achieved or not and the deviations behind not achieving the goals.
- To evaluate the individual performance of each staff member against the set indicators about achieving the objectives and the desired goals of the department.
- To unpack the process and procedures that need to be followed and clarify what happens when there is good or poor performance of staff members.
- To assist managers to look at gaps and challenges identified during and after the evaluation process has been completed.

The chapter will now consider the research design and methodology used to gather data with the use of a questionnaire tool and further explain the data-collection process and techniques.

It presents the data that needs to be analysed in comparison with the theoretical perspective and the current status of the organisation's implementation process of staff performance management systems. The challenges facing performance management implementation within the Department of Social Development, Eerste River will also be established.

#### **4.4 Research Design**

Babbie (2007:12) defines a research design as a plan to be used when conducting the research, which will focus on the outcomes or end results of the study. Based on Struwig and Stead (2001:25), "two basic research design approaches are used by researchers to collect, analyse and interpret information: respectively, a quantitative research design and a qualitative research design". This research study focuses on the qualitative design approach, which is discussed below. Struwig and Stead (2001:11) further report that "qualitative research design does not describe a single research method but relates to many research methods and qualitative research may be viewed as an interdisciplinary, multi-paradigmatic and multi-faceted method". According to Maree, Creswell, Ebersohn, Eloff, Ferreira, Ivankova, Jansen, Niewenhuis, Pietersen, Planoclark, & Van Der Westhuizen (2009:51) qualitative research design is "that form of research concerned with understanding of the process, the social and the cultural contexts which underlie various patterns".

Babbie and Mouton (2006:75) emphasise that a researchable research question should have both non-empirical and empirical data. These theorists further described the non-empirical part as a way of dealing with entities like scientific concepts, trends and competing theories that are researched through a collection of data and a review of existing literature. Barbie and Mouton (2006:75) refer to literature which includes books, international reports conference proceedings, research related reports and documents, journals, scholarly articles, legislation and policies and databases. Both theorists describe the empirical counterpart as focusing on solving problems in real-life issues and gathering data using a self-administered questionnaire or analysing existing data.

## 4.5 Research Methodology

According to Brynard and Hanekom (2006:35), research methodology is “about collecting and processing data within the framework of the research process”.

Through use of the methodology, the researcher will indicate how the aims and objectives will be achieved during the gathering of data. It will highlight tools to be used when collecting data and identify the sampling and methods used to collect this data. The unit of analysis will involve evaluation of the implementation of PMS within the Department of Social Development Eerste. Primary data will be collected through the use of the questionnaire that will be completed by each respondent involved in the research study. Policies and legislations will be used as a secondary data and be analysed in comparison to the actual implementation of PMS within the Department of Social Development Eerste River.

## 4.6 Defining a Case Study

Fox and Bayat (2007:69) define a case study as “the process in which a number of units of analysis which are highly representative of the particular population are studied intensively by conducting fieldworks timeously”. The data in this case is primarily sourced using an empirical study. The empirical study includes the use of a questionnaire to collect data from the staff of the Department of Social Development, Eerste River office. This is complemented by information gathered from the study of relevant, strategic and technical documents regarding the implementation of staff performance management systems that incorporated information derived from the resourceful management of the Department of Social Development, Eerste River.

Struwig and Stead (2001:13) mention that interviews in qualitative research are utilised for collecting data. The researcher used purposive sampling to select participants for this study. Babbie (1995:225) explains that purposive sampling are used in selecting a population based on the researcher’s own understanding and knowledge about the elements that will assist in obtaining information about the aims of the study. Maree, Creswell, Ebersohn, Eloff, Ferreira, Ivankova, Jansen, Niewenhuis, Pietersen, Planoclark, & Van Der Westhuizen (2009:79) concur, “The population sample commands the characteristics appropriate for them to be the substantive holders of such data as is needed for the study”. Therefore, the target

respondents in this research are the relevant experts, such as PMS managers, supervisors and human resource managers. The respondents and the Head Office Research Department were given assurance about the confidentiality of the information by guaranteeing that their identity and details will not be revealed and the information gathered and results will only be utilised for the purpose of this study.

As part of the pre-test (pilot study) of the questionnaire, the researcher tested the research questions by requesting participants at management level to review the relevance of the questionnaire using their interpretation and understanding about systems within the department. The questions can be adjusted and refined accordingly and should be based on the initial responses of the respondents (Fox & Bayat, 2007:102). The intention of using the questionnaire is to collect data from the employees with regards to their level of understanding pertaining to implementation of staff performance management systems within the Department of Social Development, Eerste River.

As stated at the beginning of this study, its content analysis and findings will be based on challenges encountered during the implementation of PMS in the Department of Social Development, Eerste River and therefore the information cannot be generalised to how other departments perform and implement their systems. The following section displays the organogram of the organisation identified for the research study.

#### 4.6.1 Social Development Eerste River Organogram

This diagram below indicates the organisational structure of Department of Social Development Eerste River and the positions occupied by the employees in that office. This also shows the level of experience which differs according to the years of experience of each staff member.

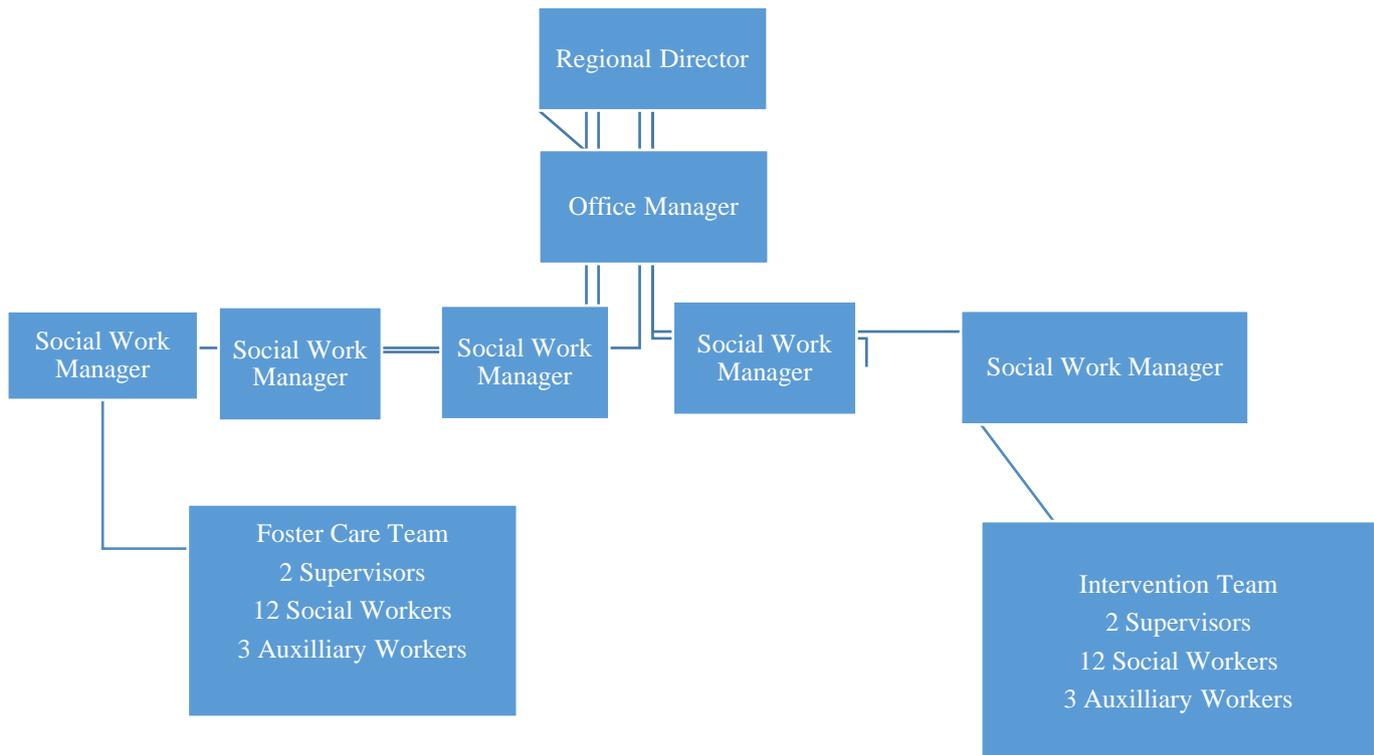


Figure 1: The organogram of the Department of Social Development Eerste River

#### 4.7 The Instrument Used in the Study

The researcher designed a questionnaire as the data-collection instrument in this study for information pertaining to the challenges encountered during the development and implementation of the PMS in the Department of Social Development, Eerste River. As part of the study, managers were requested to review the questionnaire to determine its relevance for understanding departmental employees and to ensure clarity about what is expected from respondents.

The intention of the pilot study was to test the respondents' understanding and interpretation of the questions in the questionnaire. Based on feedback from the participants, the questions were then refined and adjusted to ensure reliability and validity of the instrument.

#### 4.8 Reliability and Validity

Brynard and Hanekom (2006:48) refer to reliability as “the accuracy and consistency of measures. This implies that when the same instrument is used again under similar conditions and standards it will produce the same results”. Maree, Creswell, Ebersohn, Eloff, Ferreira, Ivankova, Jansen, Niewenhuis, Pietersen, Planoclarck, & Van Der Westhuizen (2009:80) explain that “when qualitative researchers speak of reliability and validity in research they are referring to the credibility and trustworthiness of the research”, while Struwig and Stead (2010:136) refer to validity as “the extent to which a research design is scientifically sound or appropriately conducted”. For this study validity is defined as matters of accuracy that are meaningful and can show its credibility by having terms of reference in a research project.

Thomas (2004:10) describes the principles of PMS as “a way of using scientific measures which are valid, reliable and consistent and it can be comparable in terms of producing information”. This implies that for this study to be relevant, meaningful, balanced and also valued, the enhancement of its validity and reliability is required. Struwig and Stead (2010:143) introduce the following factors that can influence validity of the quantitative research:

- **Descriptive validity:** Accuracy and comprehensiveness of the factual information provided, whether it has been partly omitted or distorted. This may be confirmed or rectified by acquiring the assistance of the participants or other researchers and by the examination of the accuracy of the data to improve its descriptive validity.
- **Interpretive validity:** The indication of whether the participants' meaning or perspectives of events or behaviours are accurately reported.
- **Theoretical validity:** Revolves around the reaching of a common agreement between the researcher and the participants about the concepts or theory used to refer to the phenomena that are described.

- **Triangulations:** The combination of various methods to bring together the different qualities in the analysis of data such as observation, quantitative measurements, interviews or documents.
- **Researcher effects:** The degree to which the researcher can be biased in reporting and interpreting the findings. This may be the effect of the historical background and prejudices of the researcher and is necessary to mention at the beginning of the study.

(Struwig & Stead, 2010:143)

The pilot study was conducted based on the initial feedback from the respondents and the researcher aligned the question according to the managers' suggestions and interpretations, validity and reliability was maintained, and the questionnaire was upgraded accordingly. The study leader of the Department of School of Public Leadership of the University of Stellenbosch was consulted via email about changes to the instrument to enhance its validity and reliability.

#### **4.9 Data-Collection Method**

A questionnaire-interviewing tool was utilised to gather reliable and valid data. A draft of the questionnaire was developed and reviewed in consultation with one of the managers for the pilot study. This was in line with Converse and Presser (1986:51-76) in Mouton (2001:103) as the researcher aimed "to have an excellent discussion about the need for pre-testing and various methods of pre-testing a questionnaire, as well as the ideal sample size for a pre-test". The participants did a pre-test of the questionnaire, during which the researcher requested them to comment on its relevance to their understanding and operations in the organisation. Feedback from participants was analysed and evaluated to ensure that it was relevant to the study, valid and interpretable. Thereafter, the questionnaire was amended, reviewed and adopted.

The questionnaire investigated the capacity the respondents occupy in the organisation in order to understand the role they play in implementing staff performance management systems within the Department of Social Development in Eerste River office. The questionnaire consisted of 30 questions to be answered by the staff of the organisation. The

questions were mostly closed questions, requiring yes or no answers, with few open-ended questions that needed details about the implementation process of the performance management systems. The purpose of these questions was to gather information and ensure that participants would focus on the questions based on the topic and give a clear understanding of how systems had been used within the organisation. The following sections will give an indication of who participated in this research study and the reasons for involving them.

#### **4.10 Sampling**

According to Brynard and Hanekom (2006:54), sampling is “a technique employed to select a small group (sample) with a view to determining the characteristics of a large group (population)”. Maree, Creswell, Ebersohn, Eloff, Ferreira, Ivankova, Jansen, Niewenhuis, Pietersen, Planoclark, & Van Der Westhuizen (2009:79) support this by referring to sampling as “a way of selecting a certain portion of the population”. The study was designed in the form of qualitative methodology, which will focus on the quality of the information collected rather than concentrating on the quantity. The researcher embarked on the study with the understanding that the participants had knowledge and expertise required for the study. The researcher used purposive sampling when selecting participants. According to Maree, et al. (2009:79), purposive sampling is used when participants are selected based on their expertise or characteristics that make them the holders of the data needed for the study.

The selected participants consisted of one social work manager, four supervisors and fifteen social workers that were the implementers of the performance management systems and had a clear understanding of how the systems were operated, as well as challenges during the implementation processes. The twenty participants were given assurance of confidentiality and were advised that information results would only be used for the purpose of research.

#### **4.11 Research Procedure**

The research consisted of two separate groups of respondents for testing the effectiveness of the implementation of performance management systems within the organisation. These were (1) the supervisors or managers, and (2) the employees at operational level. All of the

participants are employees of the Department of Social Development, Eerste River office and participated by completing the questionnaire. Permission was requested to conduct the research and to collect data from the organisation through an application via the Head Office of Department of Social Development under the Western Cape government. Once permission was granted, arrangements were made via email requesting participants to undertake the task of being involved in this research study by answering the questionnaire.

#### **4.12 Limitations of the Research**

The researcher was expected to get permission by applying for ethical clearance within the department before data gathering could commence. Confidentiality of the information was of a high priority and this will only be used for the purpose of the research study.

#### **4.13 Ethical Considerations**

Before the participants became involved in the study, the researcher was granted permission to conduct the research and the employees were informed that they would be voluntarily engaging in the study. The staff was assured that the information would be used for research about the organisation. Confidentiality was guaranteed by ensuring that their identities would not be revealed.

The following section will cover data collection from the organisation and the actual analysis of the empirical findings from the information gathered through completion of the questionnaire by the participants.

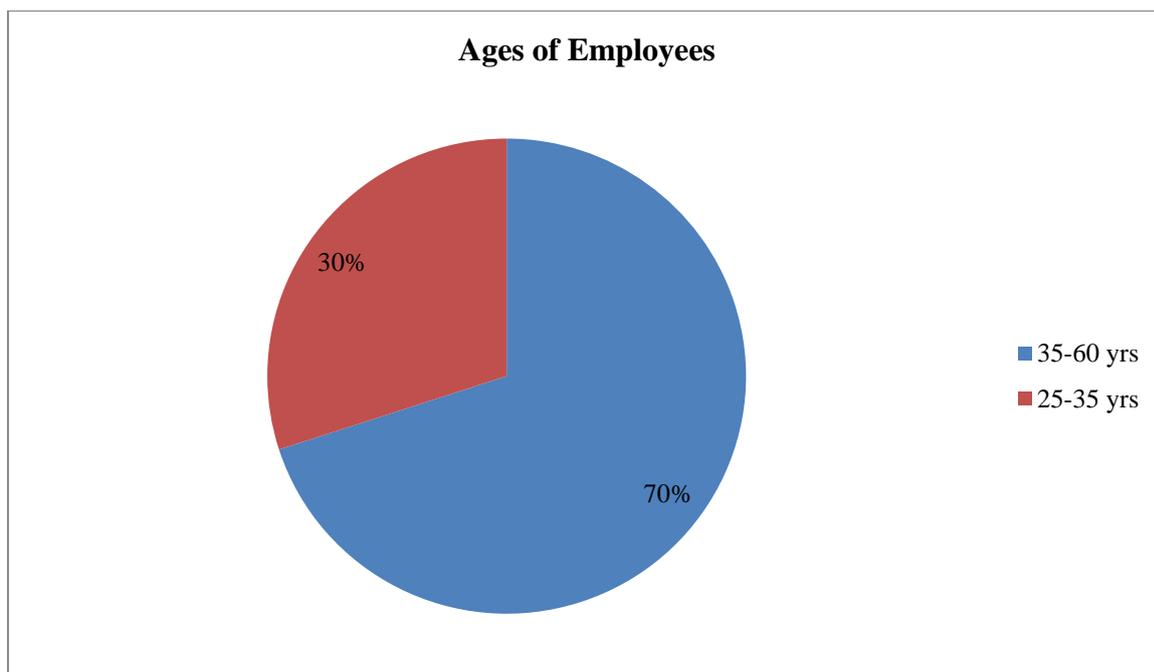
#### **4.14 Data Presentation and Analysis**

The questionnaire was divided according to three subheadings, namely:

- Knowledge or existence of PMS, which was about the biographical data of the participants in terms of their positions, gender and level of experience of using the system.
- Regulations or policies guiding the implementation process to determine to what extent the organisation and employees comply with statutory and regulatory obligations concerning PMS.
- The empirical study focus on the employees' perceptions about PMS and the benefits it brings to the organisation, indicating the experience of the participants, as well as challenges in the application of PMS and coming up with possible suggestions to improve the systems.

##### **4.14.1 Knowledge or existence of PMS**

The following diagram reflects the findings on the implementation process of performance management systems within the Department of Social Development, Eerste River.



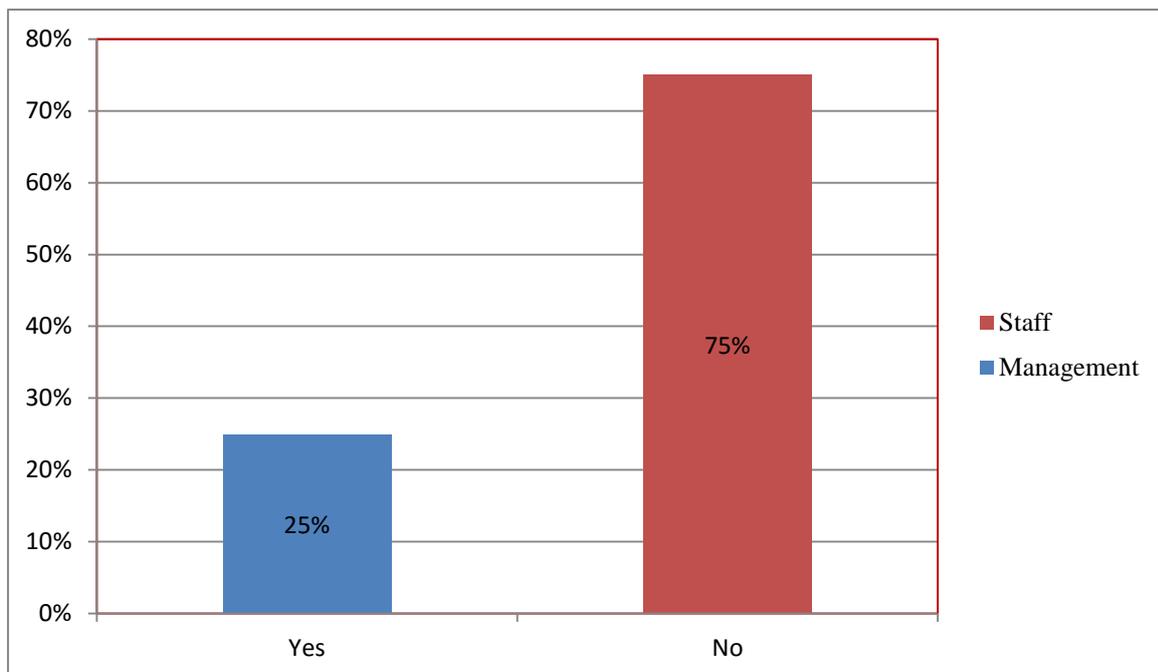
**Figure 2: Ages of the employees**

The above diagram reflects the general profile of staff working within the organisation, including social workers, supervisors and managers, both male and female, in terms of age. This is divided between the ages of 25-35 and 35-60 years old. The pie chart shows that only 30% of employees are under the age of 35 and 70% are between 35 and 60 years old.

Some participants perform the duties of supervisors and managers. These participants are much more experienced in performance management, as it is part of their core functions. The acting supervisors are not as experienced, as the department also gives social workers an opportunity to act in the absence of a supervisor or vacant position. The acting supervisors and staff at operational level need training on performance management systems in order to capacitate for performance management and reviews.

The respondents were asked whether managers and employees have knowledge of what PMS is. 25% of participants at management level indicated yes. The managers and supervisors indicate clear understandings of the performance management systems, as managers are the implementers of the systems within the organisation of the Department of Social Development, Eerste River. 75% of respondents (staff members at operational level) indicated no, due to the fact that performance management is not part of their core function and only experience it during reviews and planning. Performance management systems are

known as an evaluation system to measure the performance of staff against key performance areas and to identify under and over performance. Williams (2002:12) indicates effective management of performance as “the organisational vision; establishing key results, objectives and measures at the key functional core of the business and; then identifying process objectives and the key indicators of performance for those processes. Within the process of performance management, identification and installation of effective measures of quality is required as well as consideration of cost, time and delivery for the purposes of monitoring and controlling the continuous improvement of performance in specific key functional areas”. The findings in this aspect is that managers seemed to be clued-up on what should be done in terms of performing duties of evaluating staff performance which is also supported by the theorist on how the process should be followed.

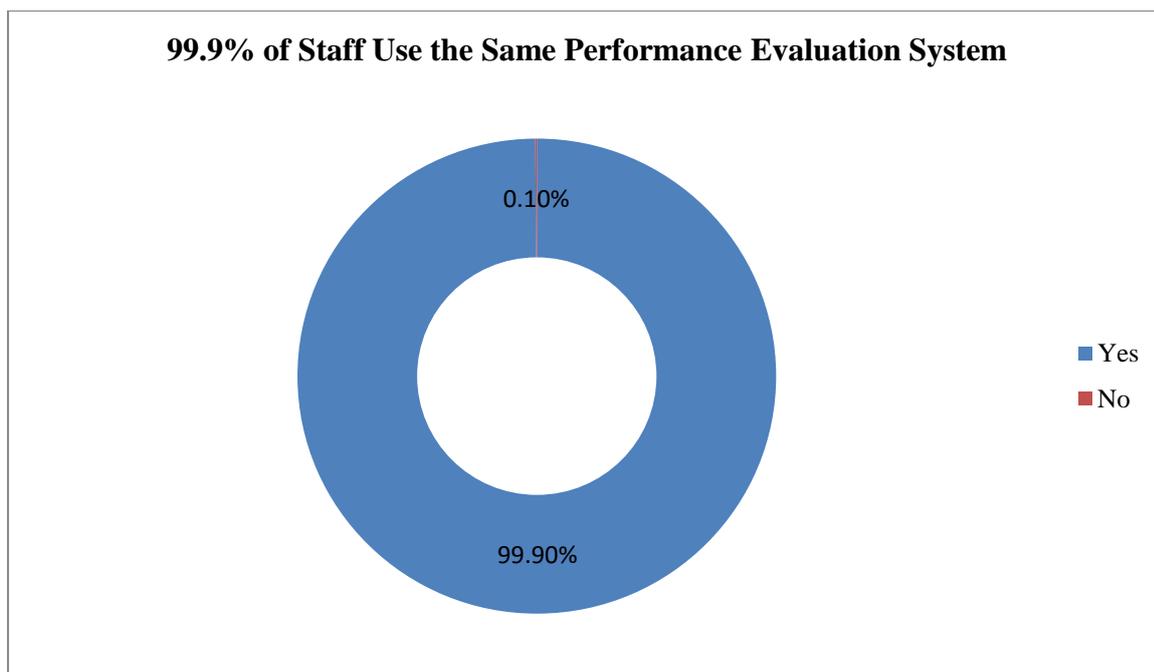


**Figure 3: Knowledge of PMS**

The respondents were asked to elaborate whether there were any times when staff did not comply with the completion of the performance management information system (PERMIS). Staff members reported that there is good compliance with the systems. All respondents indicated that supervisors and staff are obliged to comply, as should one fail, employees would face consequences leading to corrective measures or a disciplinary hearing.

When it comes to ratings on a scale, a 1 point measure could be an indication of underperformance, which should be addressed with relevant staff members and a developmental plan or corrective measures should be implemented to deal with underperformance. According to Van Der Waldt (2004:37), performance is “the work done and the achievement of the result by doing work properly”. When the organisation encounters underperformance it can be easily linked to Van Der Waldt’s perception and view of good performance.

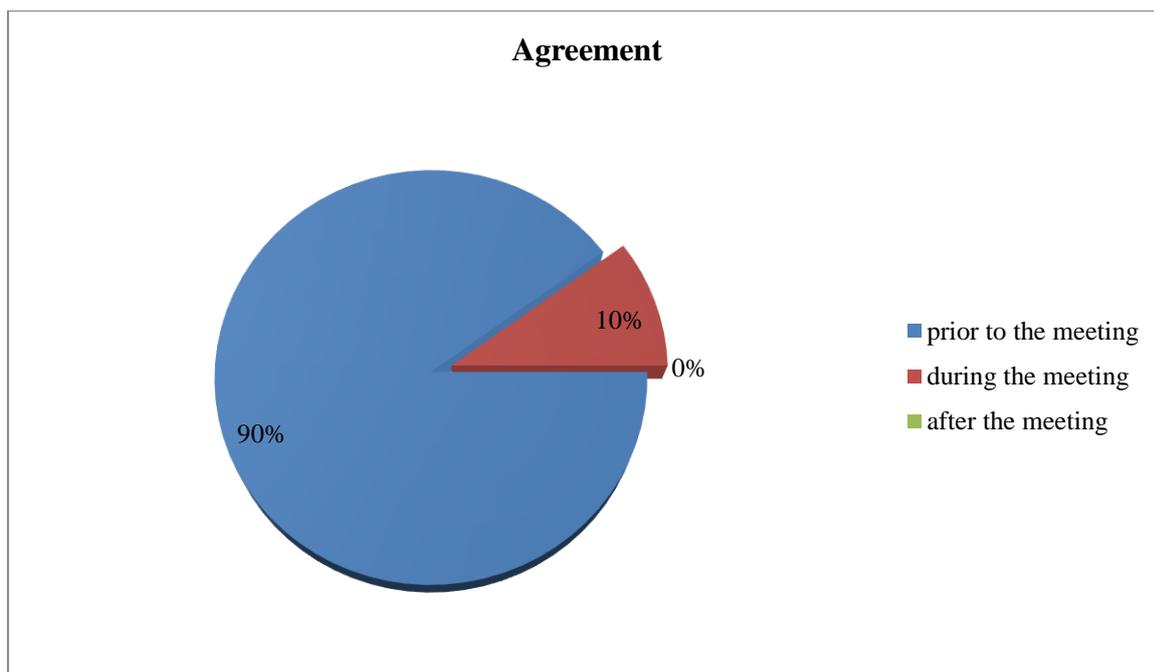
The participants were asked whether all employees use the same format for staff performance evaluation. All respondents reported that staff is evaluated using the same performance evaluation system, including managers of the organisation. According to Cloete (2009:293), the establishment of GWM&ES aims to develop a standardised system of M&E in all spheres of government and includes business and voluntary sectors of South African society. The finding on this matter was that only one performance evaluation system was used by the Department of Social Development under the Western Cape government as a whole, which is influenced by the province’s political leadership of the Democratic Alliance.



**Figure 4: Standardised performance evaluation system**

The researcher asked participants whether there is any preparation for quarterly reviews by the managers and supervisors, including staff. It was stated that there are on-going consultations to prepare for quarterly performance evaluation, which is conducted timeously. Staff members are reported as consulting with their supervisors on their performance to agree on their rating. According to the Public Service Regulation VIII.B3, “the supervisor must explain the performance assessment procedure to the employee before the assessment cycle starts. The supervisor also needs to inform the employee about the criteria that is going to be used for the performance assessment. The supervisor should meet with the employees regularly to discuss the basic objectives and what successes or failures they have experienced”. It was found that the supervisor has a role to play in this process by consulting with employees and guiding them as the performance evaluation systems are implemented.

This question enquired at what stage employees could access the final evaluation report. 90% of respondents indicated that employees could access their supervisor’s completed performance evaluation report prior to the meeting. 30% of participants mentioned that sometimes employees are on leave during the process and come to the office to discuss the reviews and come up with final agreement with supervisors and there after the final report be signed. Therefore, only during that meeting can staff members access the report.



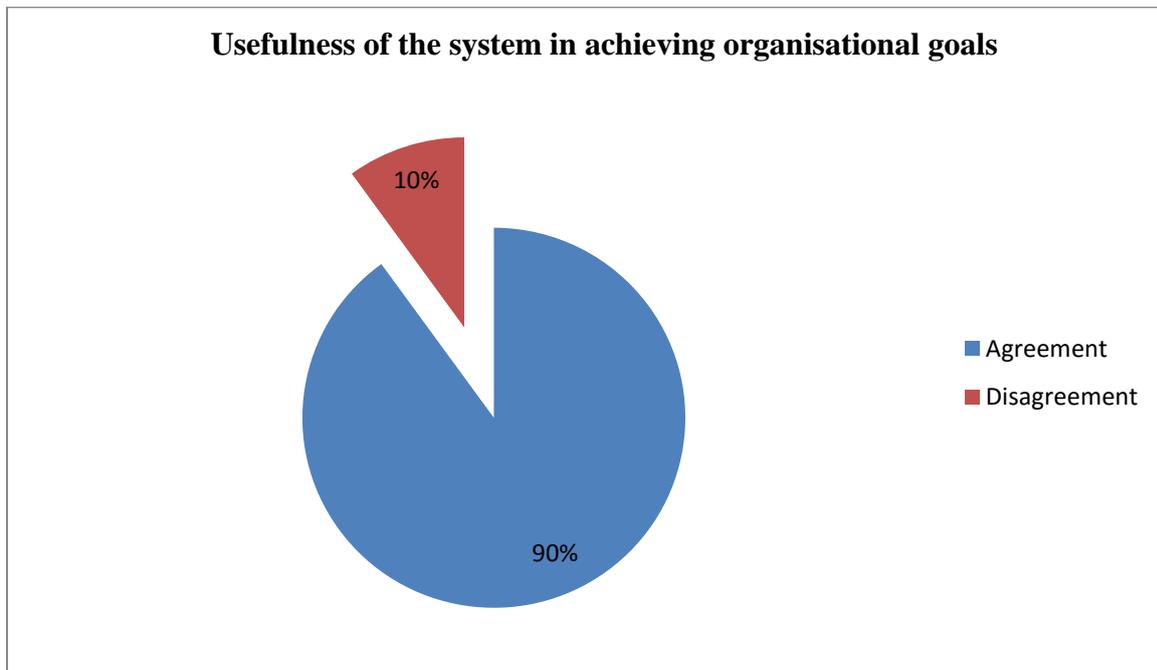
**Figure 5: Access to final evaluation report**

The researcher was interested to find out how many times performance reviews are done within the organisation. The evaluation is reported as being done twice a year within the organisation and making use of the PERMIS system, which can easily detect underperformance of employees. The quarterly reviews are actually conducted once every six months, according to the respondents' views. Results of the quarters are consolidated in order to get their final ratings.

The respondents were also asked whether the performance evaluation outcomes were used as a reflection of good or poor performance. 75% reported that if a staff member obtained a score of less than three points, he or she is deemed to have underperformed and a staff performance improvement plan must be compiled to guide the official on areas where improvement is needed. 25% of the participants indicated that employees sometimes rate themselves as three, which is the average, because employees do not want to argue about evidence, which they require for more than three points. Therefore participants sometimes do not give a true reflection of their performance. According to Curtis (1999:264), poor performance is "assumed to be the result of prevalent non-compliance culture". The respondents made the suggestion that to deal with poor performance managers need to ensure that new employees are orientated and thus exposed to training issued relevant job descriptions and that any uncertainties encountered are clarified. Standard performance and

key result areas should also be clarified before commencing with the duties. Staff reported that the goals of the organisation should be clarified by the immediate supervisor and good performance rewarded. Boxall, Purcell and Wright (2007:366) define performance as effort that the employee puts in to obtain results through good performance and that can be measurable. The finding on this matter is that there are measures in place to deal with poor performance as indicated by the theorists and policies of the organisation.

The researcher was also interested in finding out whether operational reviews are used to evaluate the operation plan in determining whether targets were reached or not. 90% of participants agreed that operational reviews are used in evaluating the operational plan of the organisation to determine if staff has managed to reach the targets as planned by the organisation. 10% of respondents stated that planned programmes sometimes might not be conducted due to austerity measures, such as insufficient funds or resources to implement programs; therefore, this limits their performance. Jorm and Agere (2000:66-67) mention, “Performance management systems are linking the performance of individuals to the overall direction of the organization through processes that facilitate the achievement of desired goals”. The theorists support the respondents’ views that there is a link between organisational plans and staff performance evaluation. Please see the illustration figure below;



**Figure 6: Usefulness of systems to achieve organisational goals.**

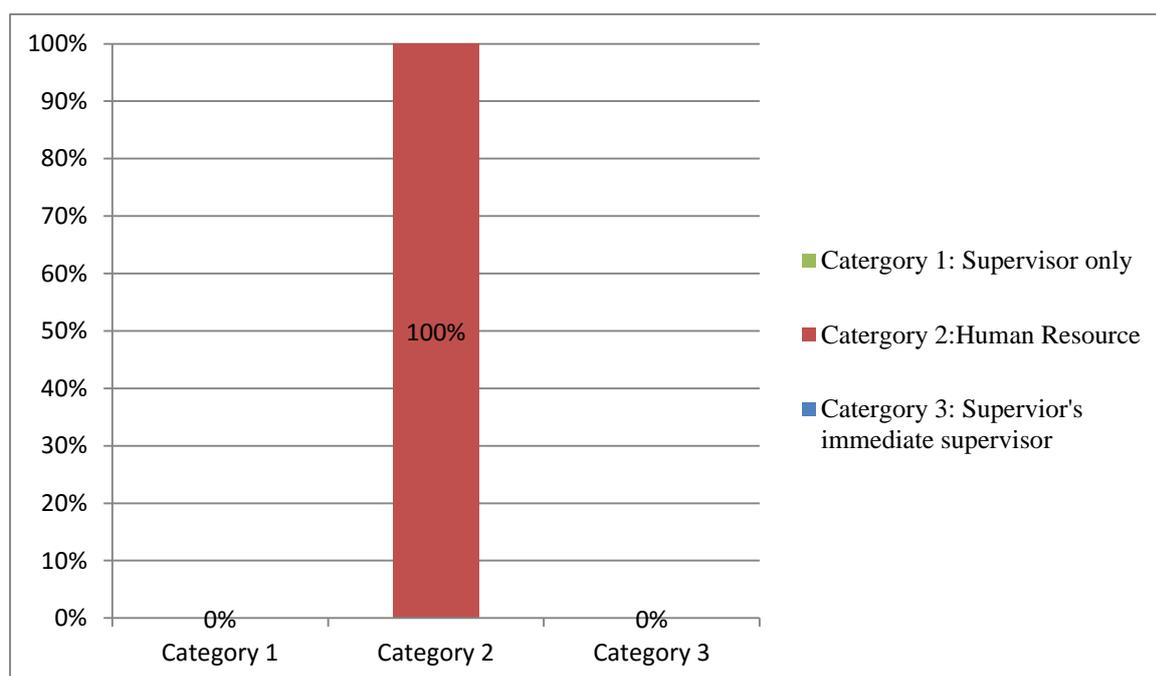
The researcher questioned respondents as to whether there are any corrective measures in place to ensure that targets are met. A staff performance improvement plan must be compiled to guide the official on areas where improvement is needed. Fernandez (2005:261) explains that performance management is “an integrated system that involves institutional design, work planning, assessments, and feedback designed with a view to maximising performance at the individual and team levels in motivating and developing staff”. This theorist supports the organisation planning and measurement in place to be considered when poorly performing employees are encountered. Torrington and Hall (2009:100) have a different perspective by viewing performance management “as a framework in which performance can be directed, monitored and refined by human resources, and that the link can be audited”. The significance of this view is that performance can be measured, as well as tools used to monitor it against the achievement of planned organisational goals.

The questionnaire only checked whether the outputs are being monitored. The managers and supervisors are reported as being responsible for capturing the input, output, as well as outcomes of the operational plan and ensuring that the targets are met. Van Der Waldt (2004:44) argues that performance is a basic element that is concerned with showing the worth of employees to management through their productivity and rendering better services within the organisation. This performance evaluation process by managers and supervisors helps to ensure that resources allocated to the organisation are utilised effectively and efficiently by monitoring the work done, as well as the quality of the results in achieving the mission and vision of the organisation. The staff performance is directly linked to the utilisation of resources and services rendered by the organisation in the community.

The questionnaire asked whether the operational plan was relevant to the output of performance management systems. It is reported that targets are set in the operational plan and staff is assessed against these targets. Kanyane and Mabelane (2009:60) view performance management as a continuous process of making decisions on planning, management of staff, reviewing the work done and capacitating the employees with skills in order to function effectively and efficiently. This process shows the link between the results of the work done and achievement of the organisational goals and objectives.

The researcher asked who approves the performance evaluation of the staff. The supervisors and the staff are reported as having a responsibility to work jointly and agree on performance; however, final approval is done at various levels of moderation committees. Human Resource

Department is reported as the only component responsible for approval. Torrington and Hall (2009:100) support the respondents' view by describing performance management as a guiding tool that can be audited by human resource and utilised for directing, monitoring and evaluating activities done by the employees within the organisation. It was made clear by the respondents that human resource plays a vital role concerning performance management and approval of the information submitted and captured on the system.



**Figure 7: Responsible section to approve performance evaluation**

All respondents agreed that supervisors and staff are using the same performance evaluation system. Van Der Waldt (2008:9) supports the use of the system by viewing performance management as “the method or set of techniques used within the organisation”. In order to measure performance, there should be a uniform standard that will bring fairness of the results from top management to the employees on operational level.

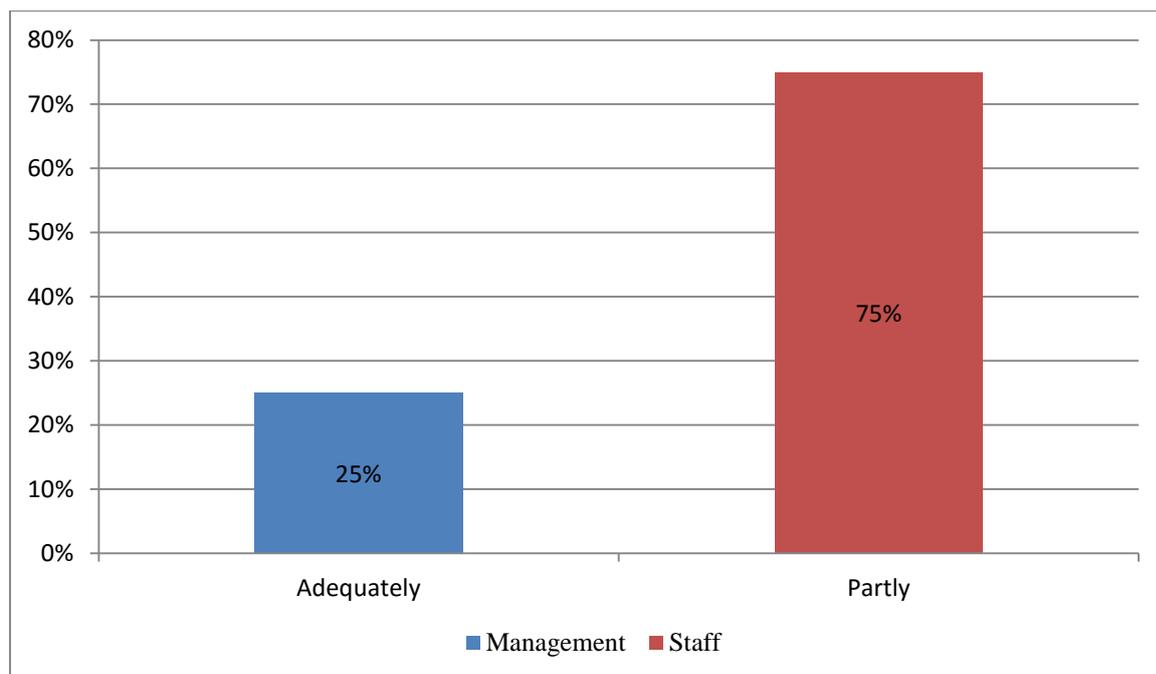
Based on respondents' views it appeared that the knowledge about PMS within the organisation is used effectively, as the majority of the staff had similar views and understanding. The respondents at management level clearly indicated that managers and supervisors were aware of the existence of the PMS as management staff was trained before the system was implemented. New staff members, particularly supervisors or acting

supervisors, were also taken through an orientation process, training and proper communication and were informed pertaining to the application of the PMS documents. It is the staff at operational level that needs more information or training on performance management. Other employees only understood that information is captured on the evaluation system but were not clear about what the process entails. Varma, Budhwar and Angelo (2008:15) describe performance management as “the systems that should be utilised throughout the organisation in setting goals, determine performance standards, assign and evaluate work, provide performance feedback, determine training and development needs, and distribute rewards”. These systems should be utilised in determining the need for training as the employees on an operational level need exposure on performance management.

#### **4.14.2 Knowledge and understanding of the legislation guiding PMS**

The questionnaire asked respondents whether managers understand the legislation that guides performance evaluation. Participants at management level, which includes supervisors, indicated that legislation is governing performance management systems adequately. The employees at operational level were uncertain as to how the policy works.

The respondents were asked whether they attended training on performance evaluation and have an understanding of their roles. Participants at management level knew the key role players involved in the planning and implementation of performance evaluation systems. 25% of respondents show that managers’ report the level of understanding and decide on training, and managers further stated that it is a requirement that managers and supervisors are trained on performance management. The other 75% of respondents were operational level employees who indicated that staff is partly trained, as performance management is not their core function. The figure below clearly illustrates responses about this question of training on performance management systems.

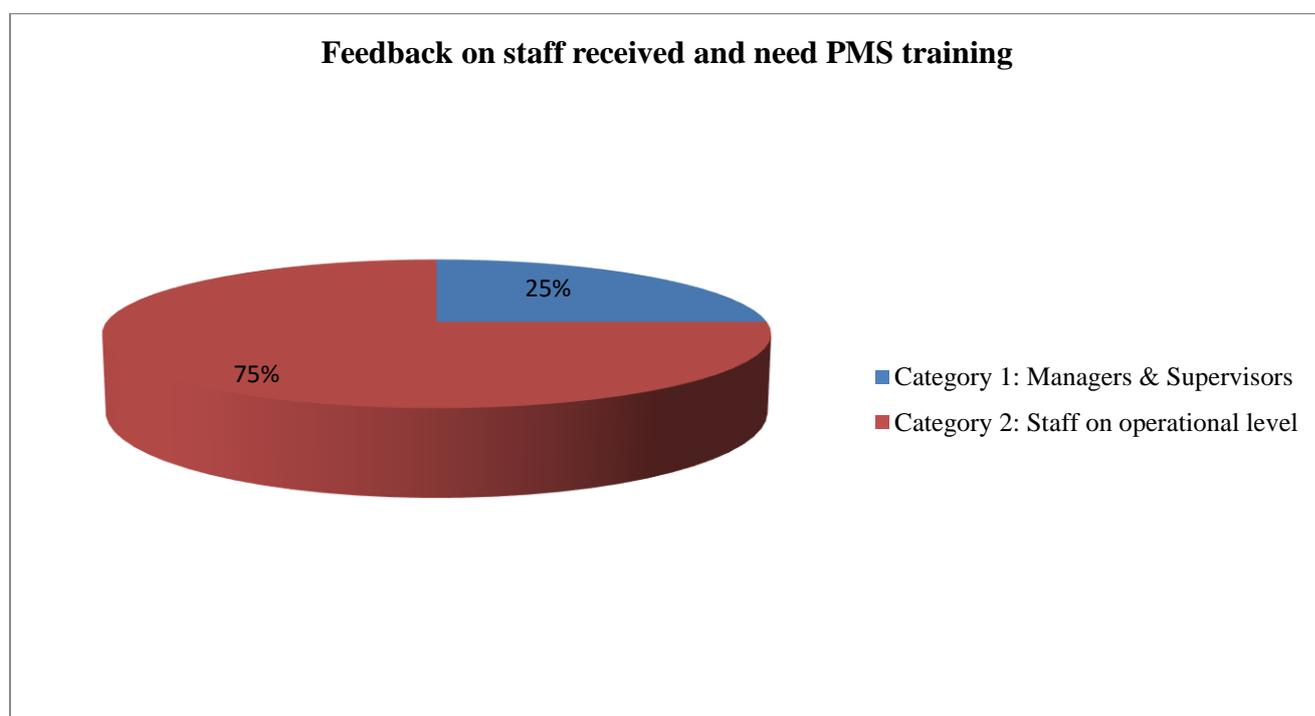


**Figure 8: Training on Performance Management Systems**

Participants were asked whether the managers and staff understood performance reviews and the expectations during this period. 75% indicated that there are guidelines to be followed in the implementation of the systems which are known to them. Only 25% of respondents at operational level indicated that constant guidance is needed from their seniors – these were newly appointed employees. The government departments all utilise different activities of performance management and programs but the respondents of the Department of Social Development, Eerste River revealed that all the employees use individual performance evaluations during that period of reviews.

The researcher enquired whether everybody involved in the performance management systems understood their roles. 25% of respondents (all at management level) indicated that they know their role during performance evaluation systems and everyone from employees to management of the organisation has a role to play. The other 75% indicated that staff members depend on supervisors to guide them during that period. Armstrong (2006:3) supports this statement and highlights performance management as a way of getting results through utilising people. Swanepoel (1998:111) is in agreement with Armstrong's view that performance management is a management approach utilised to plan an employee's performance and facilitates the results as to whether goals are achieved as planned. The finding is that a supervisor/manager plays a facilitative role during the process.

This question checked whether the respondents were trained on performance management systems. 25% of the respondents (those in management positions) indicated that they were trained in the performance management systems as part of the requirement that they need to be capacitated with skills for management purposes. 75% of the participants, who are currently the employees of the organisation, reported that they did not receive training. The results reveal that the supervisors and the managers are more involved in the implementation process compared to employees at an operational level. Please see the illustration below;

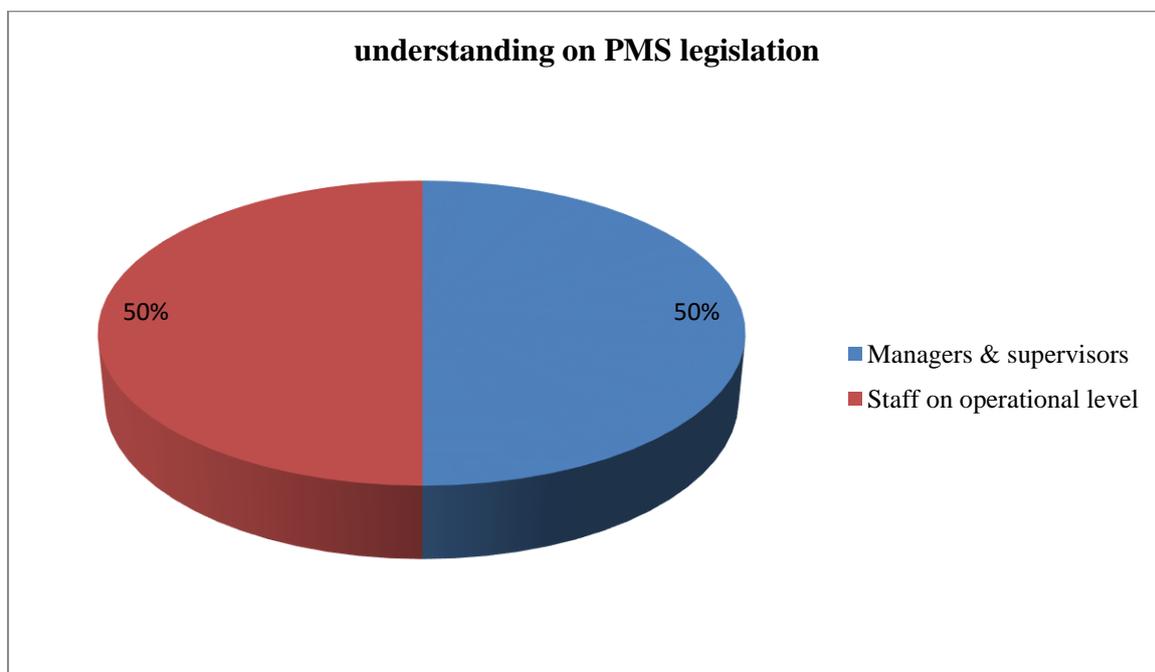


**Figure 9: Feedback on staff received and need PMS training**

The researcher was interested in whether managers and supervisors are given enough time to conduct performance evaluations. 25% of the participants, who are on management level, indicated that managers did not have enough time provided at the end of the quarter to consult due to other operational functions. 75% of respondents (operational level) mentioned that they were also busy with other functions but had to make performance evaluation their priority as there were due dates they needed to comply with. From this response it can be concluded that managers need more time for implementation of the PMS, as they are currently disadvantaged due to their busy schedules and short periods to conduct

consultations with staff. Beardwell, Holden and Claydon (2004:529) are concerned that managers can be hindered in their operations due to lack of time and inadequate resources to perform necessary tasks. The issue of managers and supervisors not having enough time to consult with employees was found to be the most vital challenge that needs to be addressed in the near future with the department as a whole.

The questionnaire then focused on finding out if there is any legislation guiding the process of performance management within the organisation. 50% of respondents indicated that they are given short return dates for submission of the performance reviews. 50% were not sure but had an understanding that government should have a policy on performance management. They further highlighted that legislations, such as the Public Service Act (1994) and regulations, public service bargaining council resolutions, staff performance management policy and guidelines are used as guiding policies within the Department of Social Development, Eerste River office. The Public Service Act (1994) is recognised by the staff as supporting and guiding the implementation of the PMS across all government departments. These policies guide the public officers on how to conduct and implement the systems; hence, knowledge and understanding helps in managing employee performance in order to attain the desired levels of performance within the organisation. Please see the following figure for the perceptions of the employees on PMS legislation.



**Figure 10: Understanding on PMS legislation**

#### 4.14.3 Pilot study or perceptions of the employees

Through the use of the questionnaire, the researcher sought to understand the areas of focus that the performance evaluation aimed to address performance concerning employees. The respondents at management level indicated that the focus of the performance evaluation is on job performance and training or development of employees. 25% of respondents (management level) shared this same view, which determines the need for training in order to improve individual staff performance as required according to their key result areas signed in the performance agreement and reviews by the employee and the immediate supervisor. 75% of respondents (those at operational level) were uncertain about the process and need to be informed about the performance management processes and procedures. According to Van der Waldt and Du Toit (1999:384), “the Public Service Act gives authority to managers to ensure that there is effective management and administration of public institutions. The roles and responsibilities given to managers involve efficient management and administration, effective utilisation and training of staff, maintenance of discipline, promotion of labour relations and proper utilisation and taking good care of state property”. Therefore, staff must be trained in performance management systems as highlighted by the Public Service Act, particularly the managers and supervisors who are perceived as the implementers of the system and can transfer skills and guidance to relevant staff.

The next question asked was during which review period when employees submit performance appraisals to the supervisor. All participants reported that only after writing their performance evaluation on the system could they submit their self-appraisals to the supervisor. This procedure is the standard to be followed. McCourt and Eldridge (2003:255) highlight that “a weakness of performance appraisal is that it is too easy for managers and employees to collude in the notion that it is the one and only time in the year when they have to discuss performance”. This should be part of on-going communication, not a once-off activity as it builds up from consultation and supervision conducted during the course of the year.

Using the questionnaire, the researcher enquired who is responsible for setting the standard criteria of performance evaluation. The respondents all indicated that the supervisor and employee have a mutual agreement during this process. According to the Public Service Regulation VIII.B3, “together the supervisor and the employees should agree on performance objectives and targets. These objectives should be directly linked to the overall objectives of

the department”. Bacal (1999:25-37) supports the process of performance management and asserts that it has “the need to be viewed as a system that operates within a larger system”. He defines the system as something that has component parts that interact and work together in an interdependent way to accomplish something. Bacal (1999:25-37) mentions the components of a performance management system as follows: performance planning, which refers to a manager and employee working together to identify what the employee should be doing for the period being planned, how well the work should be done, why it needs to be done, when it should be done and other specifics, such as level of authority and decision making for the employee. Bacal (1999:25-37) further describes it as on-going performance communication, which is simply a two-way process to track progress, identify barriers to performance and give both parties the information they need to succeed in order to prevent problems. These problems include data gathering, observation and documentation, which is about collecting information, gathering data and recording the information collected about the performance of the organisation or individuals for the purpose of improving performance. The performance appraisal meeting is a process whereby the manager and employee work together to assess the degree to which the employee has attained agreed-upon goals, and work together to overcome any difficulties encountered.

The focus of the questionnaire was also on finding out about the role of the supervisor during this process. 100% of respondents stated that the supervisor’s role is to be responsible for conducting performance discussions with the employee, providing on-going feedback, documenting performance, setting performance expectation and goals and improving the performance of the employee. Everybody was aware that the supervisor is the one leading the process.

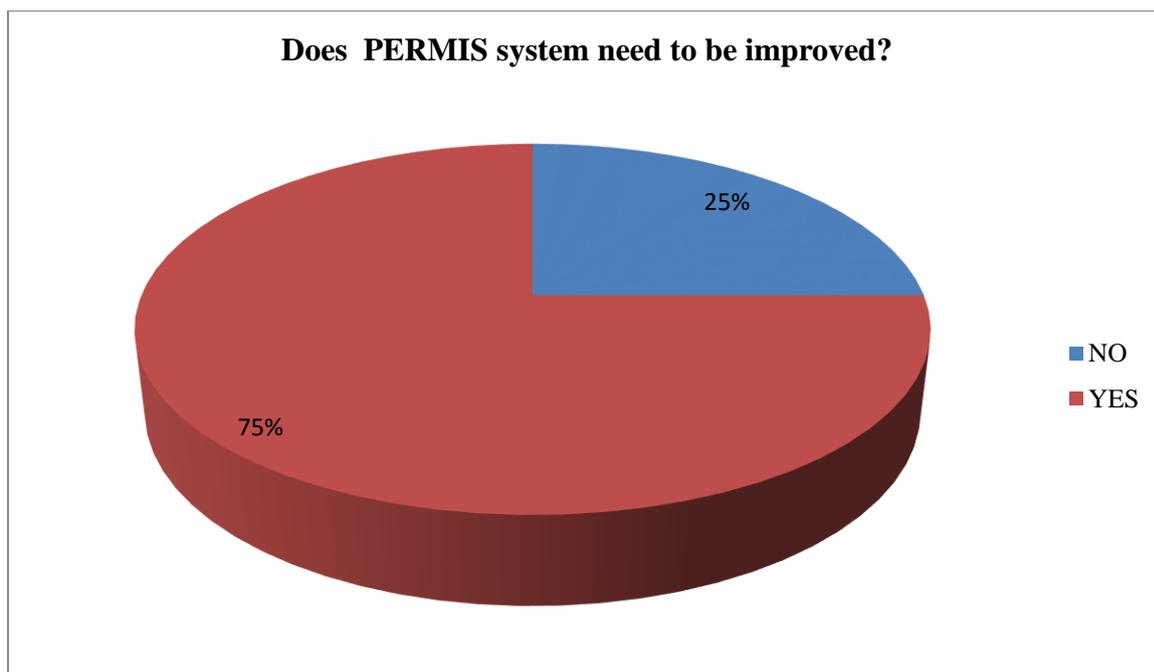
The next question focused on the perceptions of the participants about the role the managers and supervisors play within the organisation. Respondents indicated that the role of supervisors and managers is established to determine if the officers assess themselves correctly and to identify gaps in performance. If they do not function at their full capacity they must agree on necessary training.

The questionnaire then asked the respondents whether there is a link between performance evaluation and the operational plan. 50% of respondents stated that the organisational performance evaluation has a link with the operational plan. For instance, the performance evaluation goals are set in the operational plan and determined by the region but the office of

the Head of Department in the Western Cape government determines the targets for staff to achieve. The other half of the respondents was not certain about the process and needs more information and guidance concerning the performance management processes. The performance evaluation goals and the operational plan are reported as aligned. The respondents further reported that staff is expected to implement a number of programmes but not specifically to ensure that targets in the operational plan are met. The supervisor evaluates the performance of staff.

The researcher, through use of the questionnaire, asked respondents how the manager or supervisor is evaluated during performance reviews. The respondents all indicated that the managers evaluate the supervisor, and the director of the organisation evaluates managers. While above average performance of staff and supervisors is discussed by the first level moderation committee, the second level moderation committee assesses the performance of managers.

The questionnaire then asked whether or not the performance evaluation system needs improvement. The 25% of participants at management level responded that the PERMIS system is very useful and functions well as it is an easy tool to identify and measure quantity performance but not quality. The managers further reported that it is necessary to determine measuring instrument and criteria in order to decide what justifies a certain rating like 3 or 4 points. Performance agreements between staff and the supervisor must be based on specific circumstances of the staff member and performance must be measured against the performance agreement. Currently, Human Resource Department is reported as responsible for compiling generic performance agreements of all staff members and it does not understand specific functions performed by staff on operational level. Management reported that staff must not be compared with each other but should be measured against their key result areas. 75% of the respondents found PERMIS to be a little bit too complicated and, as it is done only twice a year, they need more guidance and time to do reviews so that they will not be under pressure when capturing their information in the system. Please see the figure below for more explanation.



**Figure 11: Does PERMIS system need improvement**

The researcher was interested in respondents' summary of the system's benefits. 50% of respondents reported that performance management systems are found to be beneficial to the organisation as the management can use it to identify employees that are not performing well and correct this underperformance. Staff performing above the norm can also be identified and rewarded, which encourages others to perform well. 50% of respondents saw performance management as just a tool to collect data and were unclear about its benefits.

#### **4.15 Analysis of Respondents' Views**

The researcher notes that respondents at management level held different views compared to staff at operational level. The reason behind these differences of perceptions and understanding could be the level of experience of working within the department. Those that have been in the field of service for a longer period seemed to be clear about the performance management process and procedures, while those with less experience still need guidance and support from supervisors. Another reason could be because it is the supervisors' and managers' responsibility to conduct performance with of their teams, whilst the staff complies without real knowledge of performance management. In support of the processes within the organisation, Van der Waldt (2004:39) explains "It is very important to link

Performance Management Systems with human resources development in order to bridge the skill gap by training the employees for further development. The employees might lack certain skills or knowledge to perform a particular task that is where the career development comes in”.

Supervisors and managers provided similar answers, proving their level of understanding of the systems, as well as the importance of complying with demands in dealing with performance reviews. In support of the organisation processes, Warnich, Carrell, Elbert and Hatfield (2015:330-331) suggest “managers and administrators of performance management systems should have a well-planned and implemented appraisal system which can contribute enormously to employee’s growth and enhance skills”. To conduct a problem-solving interview successfully, a supervisor must assume certain roles and possess certain attitudes and skills. Employees who work together for a long period tend to have the same positive attitude and understanding of performance evaluation and a culture of cooperation amongst themselves. Only those at operational level in the department lacked information and training with regards to performance management systems.

#### **4.16 Key Findings**

The key findings of the study are as follows:

- 25% of respondents who are managers and supervisors were implementing the systems effectively and efficiently; whilst 75% on operational level were uncertain about the implementation of the systems and need more support and guidance in order to comply with the demands.
- All employees of the organisation are evaluated through an electronic system and using the standardised performance evaluation system.
- The managers and supervisors have similar views about staff at an operational level. This could be due to the maturity of management and longer experience in the field of performance management systems and evaluation. The managers and supervisors were found to be in compliance with the norms and standards for performance evaluation as stipulated in organisational policies. The management has a crucial role of guiding staff to ensure smooth running of the performance management evaluation

of the employees. Van der Waldt (2008:8) supports the use of a holistic and inclusive approach when explaining performance as a management approach to improve employee and organisational performance to meet the vision and mission of the organisation. This was part of the initial plan of the study: to find out whether the performance management systems contribute to the mission and vision of the organisation in achieving its goals and objectives. The organisation was found to be effectively making use of the systems in order to get the work done. It clearly highlighted the need for training, guidance and support, particularly for those that are still at operational level, as the employees are uncertain about performance management systems and processes.

- The only outstanding concern that the researcher had concerning manager and supervisor's roles was the challenge of not having enough time for performance evaluations due to other priority functions of the organisation and pressure to meet the due date of the performance reviews to the Head Office of the Department of Social Development. The staff at operational level also indicated experiencing pressure during that period to ensure that reviews are prioritised whilst considering their operational functions.
- One of the respondents was of the opinion that staff members must not be compared with one another but only against their KPAs.
- The staff at operational level expressed the need for training in order to capacitate them with skills on performance management systems. Although this is not their core function the staff does participate in this process and are evaluated against their work.

#### **4.17 Summary of Chapter 4**

This chapter focused on evaluating the actual implementation process of performance management systems at Social Development, Eerste River office, and highlighted how the process is conducted, as well as challenges encountered whilst staff implements the systems. The chapter also indicated the qualitative research method used and put more focus on the case study of the organisation identified and the use of a questionnaire in gathering the data. Performance Management Information Systems (PERMIS) used by the Department of Social Development Eerste River are reported as very useful in determining employees under performing and employees who deserve to be rewarded to encourage good performance

within the organisation. This chapter has reported the responses of participants in the Department of Social Development, Eerste River, from a variety of positions, such as managers, supervisors and social workers.

The following chapter concludes the research study by highlighting how the research was conducted and presented with the help of a questionnaire instrument tool. Lastly, recommendations will be made based on the information gathered, including suggestions of how to deal with the challenges.

## **CHAPTER 5: THE OVERVIEW, RECOMMENDATIONS AND CONCLUSION**

### **5.1 Introduction**

Chapter 5 focuses on summarising all the previous chapters of this research and gives recommendations based on the study. It analyses whether the research objectives were achieved and discusses the research problem to find out if the researcher addressed it through the content of the study.

### **5.2 Summary of Chapters**

Chapter 1 came up with the problem statement, research question, objectives and methodology to be used whilst investigating performance evaluation. The chapter layout was also part of this section.

Chapter 2 proposed the literature review with the goal of understanding performance management systems by considering the views of the theorists. The literature review was used as a starting point for the line of thought in this research study.

Chapter 3 focused on the policies and legislation guiding the performance evaluation process. The regulations and policies of the organisation supported the data gathered with the intention of understanding the actual implementation process of performance management systems.

Chapter 4 concentrated on the data-gathering process, which included the use of a questionnaire as a measuring tool. It presented the empirical findings of this study gathered on the 13 and 16 September 2017 with the respondents of the Department of Social Development Eerste River. The managers and supervisors were found to be implementing the systems effectively and efficiently. Managers and staff were found to be in compliance with the norms and standards and following the correct processes of performance evaluation as stipulated in organisational policies. The only outstanding concern was that managers and supervisors do not have enough time during the period of performance evaluations due to other priority functions of the organisation and pressure to meet the due dates for submitting the performance reviews to the head office of the department. As the researcher used to work

in the organisation, it can be noted that human resources used to be decentralised before modernisation took place in 2011; therefore, each department office used to have its own human resource unit within the organisation.

Chapter 5 will summarise the chapters of the research study, link chapters with objectives and provide recommendations of strategies that managers can use when implementing PMS with the aim of improving staff performance, as well as service delivery.

### **5.3 Summary of Chapter 1**

The data gathered from the organisation answered the research question and assisted in an understanding of whether the process was properly followed. The policies of the organisation were used as guiding documents, whilst the managers implemented staff performance evaluation systems. The objectives of the study were addressed in previous chapters.

#### **5.3.1 Research question**

The research question for this study was: How effective is the implementation of performance management system in the Department of Social Development, Eerste River office? This question was answered by the data gathered from the Department of Social Development Eerste River, which also questioned staff's knowledge on performance management processes and procedures. The policies of the organisation were used as guiding documents whilst the managers implemented staff performance evaluation systems.

#### **5.3.2 Research objectives**

Based on the aforementioned research question, the following objectives were formulated:

1. Explore the underpinning theoretical view of performance management systems. The main aim was to explore the conceptual theoretical framework of performance management systems. This was achieved in Chapter 2.
2. Review the policy, regulations and legislative framework applicable to performance management systems within the public sector. Policies of the organisation were

reviewed and it was found that the management of the Department of Social Development, Eerste River was following procedure during the period of the performance reviews, as shown in Chapter 3.

3. Find out whether the performance management systems are useful in improving employees' performance and explore the benefits of using the system within the Department of Social Development, Eerste River. The respondents indicated that the performance evaluation system is a useful tool for evaluating staff performance, as well as gives guidance when drawing up a developmental plan for those found to be underperforming. Chapter 4 discusses the results, as well as findings of how the systems are implemented within the organisation.
4. Review management's role in the implementation of performance management within the Western Cape's Department of Social Development, with a particular focus on the branch in Eerste River. This was done by collecting information from the respondents and analysing it in order to understand how the process is followed within the organisation.
5. Make recommendations for future research. The researcher believes that the performance evaluation system could be conducted more thoroughly by allocating more time for the process to be conducted. Recommendations are made in the following section regarding a checklist and year planner that can be established and aligned with head office's schedule – meaning that there should be communication between these two offices. Enough resources, including budget allocation to the department were highlighted as necessary. Training of the staff at operational level is of paramount importance for performance management systems.

## **5.4 Recommendations**

### **RECOMMENDATION 1: Checklist and year planner with attached timeframes.**

The researcher recommends that the human resource component at Head Office of the Department of Social Development should open the system (PERMIS) in order to ensure that the data capturing of reviews are done on time and to consider the period within which managers are expected to submit reviews so that the managers and supervisors can have

enough time to do consultations, ratings and submissions of final performance evaluation reports. It is recommended that performance evaluation checklists be created containing a yearly timeframe of activities that can assist managers with the submission of reviews early in advance. The year planner should include performance planning, reviews and reporting timeframes to Head Office and also specify the responsible officials with dates attached in each month for each activity. This planner should be aligned with Head Office's schedule.

**RECOMMENDATION 2: Management should use the outcomes of performance reviews to improve staff performance.**

Employees and managers of the Department of Social Development Eerste River should ensure that the information obtained as an outcome of the performance review system should be considered and execute activities planned in the staff Individual Development Plan to address developmental areas of every staff member. Plans for poorly performing staff should be implemented effectively with the intention of improving the performance of staff and delivery of services within the organisation. Based on the theory of Mackay (2006b:8), "the government M&E system does not aim to produce large volumes of performance information or a large number of high quality evaluations as expected. The objective is to achieve rigorous utilisation of any existing M&E findings in order to ensure that M&E is cost effective. It is important to note that utilisation of whatever information that is provided through M&E, is vital to achieve successful M&E".

**RECOMMENDATION 3: Resources must be provided for social development.**

The department depends on resources such as staff (human resources), budget (finances) and vehicles in order to be fully functional. As part of the problem statement it was indicated that there are few cars, which are shared by employees when conducting their job activities. There is also the challenge of the budget cut under the Western Cape government leading to planned programmes not being implemented – instead the office had to prioritise. The provision of enough cars for employees could improve service delivery and a reasonable budget is needed to achieve the activities in the organisation's operational plan.

#### **RECOMMENDATION 4: Proper training to be considered**

Equipping managers and supervisors with knowledge and skills is very important to ensure the smooth running of organisational service delivery. This helps to ensure that managers and supervisors are appropriately enabled to develop innovative technologies to manage the performance of their units and enhance efficiency and effectiveness of the Department of Social Development Eerste River. The training should be relevant to the tasks that the managers are expected to perform. Employees at operational level need to be exposed to training on performance management to capacitate them with skills for understanding the importance of performance planning and reviews, as well as achieving organisational goals that are linked to the performance evaluation processes.

#### **5.5 Conclusion**

The researcher explored and achieved the research question of the study and unpacked its objectives. The literature review of different theorists was used as a foundation and discussion to support the regulatory policy framework, which is used as a guiding principle towards the process of performance implementation systems. The data gathered through the questionnaire as an instrument for data collection revealed the level of knowledge held by managers, supervisors and employees regarding performance management systems and identified the challenges that were faced by the Department of Social Development Eerste River. Concluding remarks and research findings are indicated on chapter 4 and chapter 5 of this study. Finally, recommendations for future research were formulated, noting that the scope of research should be broadened to not only focus on one office but also on more organisations within the Department.

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## LIST OF ADDENDUMS

### **A: Letter requesting to Conduct Research and Fast Tracking of Ethical Clearance**

Directorate Research,

Population and Knowledge Management

Department of Social Development

Western Cape Government

48 Queen Victoria Street

Cape Town

Date 18/09/2017

Attention: To whom it may concern

Dear Sir/ Madam

#### **Re: Application for fast tracking approval**

I would like to request for a fast tracking approval from the Research Committee. I have been informed that the Research Committee will meet in November 2017. The University requires me to submit my first draft of the Research report on the 01 November 2017 in order to be considered for graduation in March 2018. I have missed the first group that will be graduating in December 2017 and now I might be expected to re-register next year if I can't meet the deadline again. I received a portion of a bursary from the University and paid out from my pocket for the rest of the balance outstanding, and it was hard for me to save and make that payment. It could be worse if now I will have to re-register as I might not have the money to pay for the second time. I understand the busy schedule of the Committee members and respect it. I appeal to you to consider my circumstances and assist me as soon as you can.

Your assistance will be highly appreciated concerning about this matter.



Pamela Charmaine Tukwayo

Social Work Supervisor

Department of Social Development

Metro North Region

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Email: [Pamela.Fani@westerncape.gov.za](mailto:Pamela.Fani@westerncape.gov.za)

## B: Consent Document for Research Participants



UNIVERSITEIT • STELLENBOSCH • UNIVERSITY  
jou kennisvenoot • your knowledge partner

### Stellenbosch University

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#### CONSENT TO PARTICIPATE IN RESEARCH

Evaluation of the implementation of Staff Performance Management System in the Department of Social Development: A case study of Eerste River office.

##### 1. PURPOSE OF THE STUDY

The aim of this research study is to evaluate the implementation of performance management systems. A performance management system is an important tool for monitoring and evaluating an organisation's performance. The research study aims to address whether the organisation's evaluation process by using performance management system is able to give the true reflection of the staff performance. To identify challenges pertaining to the utilisation of the systems, as well as the significance of staff compliance in implementing the systems.

##### 2. PROCEDURES

If you volunteer to participate in this study, we would ask you to do the following things:

- ❖ To complete the questionnaire concerning about the implementation of staff performance management systems at Department of Social Development, Eerste River office.
- ❖ The duration of the task will take 2 hours or less in completing the questionnaire.

### 3. POTENTIAL RISKS AND DISCOMFORTS

There are no risks involved in completing the questionnaire as the study does not involve people who are marginalised but basically focusing on performance management systems and its effectiveness within the organisation.

### 4. POTENTIAL BENEFITS TO SUBJECTS AND/OR TO SOCIETY

The benefits will be about getting a better understanding of how the systems operate within the organisation and look at possible improvements if a need might arise from the study.

### 5. PAYMENT FOR PARTICIPATION

There are no funds involved in doing this research study. It is only for academic purpose as the researcher is currently a student at Stellenbosch University.

### 6. CONFIDENTIALITY

Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission or as required by law. Confidentiality will be maintained by means of removing the identity of all participants from the data gathered.

Stellenbosch University will be the only institution that will access the information as the researcher is doing the research study for academic purposes.

### 7. PARTICIPATION AND WITHDRAWAL

You can choose whether to be in this study or not. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. You may also refuse to answer any questions you don't want to answer and still remain in the study. The investigator may

withdraw you from this research if circumstances arise which warrant doing so. The researcher might request other candidates to continue with the study in case a participant decides to withdraw from the research study.

#### 8. IDENTIFICATION OF INVESTIGATORS

If you have concerns or questions with regards to the research study please contact the primary investigator, Ms Pamela Tukwayo on 021 9544315/66 or 078 737 2911 and the Supervisor is Dr Z. Ndevu on 021 918-4400.

#### 9. RIGHTS OF RESEARCH SUBJECTS

You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research subject, contact Ms Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.

SIGNATURE OF RESEARCH SUBJECT OR LEGAL REPRESENTATIVE
---

The information above was described to *me as the participant* by Ms Pamela Tukwayo in *English* and *I am* in command of this language or it was satisfactorily translated to *me*. *I was* given the opportunity to ask questions and these questions were answered to *my* satisfaction.

I hereby consent voluntarily to participate in this study. I have been given a copy of this form.

---

Name of Participant

\_\_\_\_\_

Name of Legal Representative (if applicable)

\_\_\_\_\_

Signature of participant

\_\_\_\_\_

Date

SIGNATURE OF INVESTIGATOR

I declare that I explained the information given in this document to \_\_\_\_\_  
[*participant*] and/or [his/her] representative \_\_\_\_\_ [*name of the*  
*representative*]. [*He/she*] was encouraged and given ample time to ask me any questions.  
This conversation was conducted in *English*.

\_\_\_\_\_

Signature of Investigator

\_\_\_\_\_

Date

## **C: A Questionnaire Administered to the Department of Social Development Eerste River Office**

QUESTIONNAIRE: UNIVERSITY OF STELLENBOSCH - MASTERS STUDY

TITLE: PERFORMANCE MANAGEMENT SYSTEMS IMPLEMENTATION

CHALLENGES IN DEPARTMENT OF SOCIAL DEVELOPMENT IN SOUTH AFRICA:  
THE CASE OF SOCIAL DEVELOPMENT EERSTE RIVER.

### INTRODUCTION

The researcher is a currently a student who is pursuing her studies for a Master's degree in Public and Development Management in the School of Public Leadership at Stellenbosch University in Western Cape province. The purpose of completing the questionnaire is to obtain information regarding the challenges experienced during the implementation of the PMS within the Department of Social Development Eerste River. The questionnaire would involve the identification and analysis of challenges, their evaluation and the possible solutions to those challenges.

Based on these findings, recommendations will be made to further improve the implementation of the PMS within the Department of Social Development in Western Cape Province.

Kindly take note that the information obtained will be used only for research purposes and participants will not be identified by their names or identifying data regarding the participant will be revealed. Participation in the completion of questionnaires is voluntary. The researcher would like to know whether the following role-players would assist her in analysing the responses received on the questionnaire tool completed.

**THE EXISTENCE OF PERFORMANCE MANAGEMENT SYSTEMS****A general profile of respondents**

Age	Years of Service	Occupation	Gender
		Director	Male/ Female
		Manager	Male/ Female
		Supervisor	Male/ Female
		Social workers	Male/ Female
		Social Auxiliary workers	Male/ Female

Q1. Do you have knowledge of what PMS is (To get an understanding of the staff with regards to performance management systems)?

Yes	<input type="checkbox"/>
Partly	<input type="checkbox"/>
No	<input type="checkbox"/>

Can elaborate your answer (Tell me more about your understanding of the PMS)?

Q2. In your opinion, are there any cases reported for non-compliance in respect of the PMS and processes in the Social Development (Is to get information whether the staff ever happened that they did not comply with regards to the submission or processes of PMS)?

Never	Seldom	Very often
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Q3. If numeric ratings are used, what type of scale is employed (performance evaluation score rating system from 1-5)?

1 point	2 point	3 point	4 point	5 point
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Q4. Are all employees evaluated using the same performance evaluation form (is there any standardised format for staff performance evaluation)?

Yes

No

Q5. Are there regular quarterly performance evaluation meetings held in the Department of Social Development (Before evaluating performance is there any preparations as well as on-going consultations with staff?)

Yes

No

Motivate your answer (how is the process done)?

Q6. When does the employee see their supervisor's completed performance evaluation (At what stage can the employee access the final evaluation report)?

Prior to the meeting/discussion of the evaluation	During the meeting / discussion of the evaluation	After the meeting / discussion of the evaluation
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Motivate your answer why?

Q7. Reporting on whether actual performance is done at least twice a year (How often is PMS being evaluated within the organisation).

Yes

No

Q8. Does the reporting of actual performance evaluation being designed in a manner that enables the Department of Social Development to detect early indicators of under-performance? (Does performance evaluation outcomes used as a tool to reflect good or bad performance).

Yes

No

Can you elaborate on your answer (how is it reflected)?

Q9. The mechanisms, systems and processes used during the review of performance does it identify the strengths, weaknesses, opportunities and threats of the Department of Social Development in meeting the key performance indicators and targets (Are the performance evaluation outcomes useful to assist the organisation in identifying problems that can affect it beforehand)?

Yes

No

Q10. Are there any appropriate mechanisms and systems in place to enable the measurement of performance in terms of identifying performance indicators and targets (Are there any measures in place to identify problems with regards to performance indicators and targets)?

Yes

No

Q11. Is there any plan in place in the Department of Social Development that is presently prepared for implementation, able to project and monitor inputs, outputs and outcomes for each senior manager (Are the outputs being monitored whether they have been achieved or not)?

Yes

No

Q12. Does operational plan of the Department of Social Development being designed around achieving the goals expressed in the PMS (Is the operational plan aligned with the output of the PMS)?

Yes

No

Q13. Who approves performance evaluations (At what level can performance evaluation be approved)?

Supervisor's immediate supervisor (1 level up)	Human resource	Supervisor only
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Q14. If your organisation uses employee self-appraisals, do employees and supervisors fill out the same evaluation form (Are the supervisors and employees using the same performance evaluation system)?

Yes

No

**THE AWARENESS OF PERFORMANCE MANAGEMENT SYSTEMS POLICY TO APPLICATION IN THE WORK PLACE**

Q1.

Are you aware of any legislation governing PMS and Balanced Scorecard utilisation in Department of Social Development (Do you understand the legislation that guides performance evaluation)?	Fully (4)	Adequately (3)	Partly (2)	Not at all (1)
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Q2.

Is there adequate awareness and knowledge to the key role-players in the design and implementation of the PMS (Is there any training provided to managers and supervisors guiding performance evaluation)?	Fully (4)	Adequately (3)	Partly (2)	Not at all (1)
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Q3. Are you fully or partly familiar with the Department of Social Development guidelines on performance management (Are you clear about the expectations or requirements when conducting performance evaluation)?

Yes

Partly

No

Q4. Do you think the knowledge of the key stakeholders is appropriate to implement the PMS and Balanced Scorecard utilisation (Does everybody involve in performance evaluation process know their roles)?

Yes	<input type="checkbox"/>
Partly	<input type="checkbox"/>
No	<input type="checkbox"/>

Q5. Have you ever been trained or attended a workshop on the implementation of a performance management system (Have you ever been trained on performance management and evaluation)?

Yes	<input type="checkbox"/>
Partly	<input type="checkbox"/>
No	<input type="checkbox"/>

Q6. Was enough time spent to capacitate managers and relevant personnel in the Department of Social Development Eerste River relating to implementation of PMS (Were the managers and supervisors given enough time to familiarised themselves with performance management information)?

Yes	<input type="checkbox"/>
Partly	<input type="checkbox"/>
No	<input type="checkbox"/>

Q7. Can you name or list any policies available to guide the Performance Management Processes in Social Development (Which policies that guide performance management within the organisation)?

- 1.
- 2.
- 3.

**PILOT STUDY**

Q1. If your organisation uses a self-appraisal, what are employees asked to assess (What is the focus of performance evaluation on employees)?

Strengths/ weaknesses	Competencies	Future goals	Training/ development	Job performance	All of the above
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Q2. If self-appraisals are used, when does the supervisor first see the employee’s completed self-appraisal (When does an employee submit his or her self-appraisal to the supervisor)?

Prior to writing his / her performance evaluation of the employee	After writing his / her performance evaluation of the employee	During the performance evaluation discussion	All of the above
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Q3. Who sets the performance criteria for employees (who are responsible for setting the standard criteria of performance evaluation)?

Supervisors	Human Resources	Senior managers	Mutual (supervisor and employee)	All of the above
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Q4. What role do supervisors play in managing employee performance (What should supervisors do during performance evaluation)?

Conducting performance discussions	Providing on-going feedback	Documenting performance	Setting performance expectations and goals	Recognising good performance	Improving performance	All of the above
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Q5. How do you view the roles managers/ supervisors play in the effort to implement the PMS (What is your perception about the responsibilities of managers and supervisors during the performance evaluation)?

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Q6. What is your overall perspective of the Department of Social Development Eerste River towards achieving targets stipulated in the operational plan and implementation of PMS (Did the organisation manage to link performance evaluation goals with the operational plan)?

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Q7. How do you evaluate the performance of the managers/ supervisors who assist with the implementation of PMS (Who evaluates the manager or supervisor during performance evaluation?)

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Q8. What would you suggest to successfully utilise PMS to achieve targets set in the operational plan of the Department of Social Development Eerste River (what needs to be improved or changed when implementing performance management systems)?

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Q9. Summarise briefly how the Department of Social Development Eerste River utilise PMS as a tool to implement and achieve the goals set in the operational plan (Briefly explain how does the organisation benefit from using the PMS systems?)

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Thank you for your participation. The questions above will assist the researcher to get a better understanding of the profile of the organisation, to give an understanding of the current status of the PMS within the Department, and staff perception about the systems. It will also give indications of the processes of PMS within the organisation and as well as the effectiveness of using the systems.