

**An evaluation of the Performance Enhancement Process  
(PEP) of the South African Police Service (SAPS): A case  
study at Parow Police Station**

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**Thesis presented in partial fulfillment of the requirements  
of the Master's in Public Administration at the University  
of Stellenbosch.**

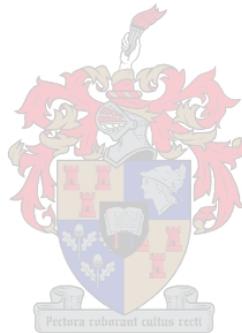
**Study Leader: Belinda Weaver**

**January 2004**

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## **Abstract**

The purpose of this thesis is to assess the performance appraisal system, namely the Performance Enhancement Process (PEP), of the South African Police Services at Parow. The premise of the study is that PEP is a sound policy document, but that there are potential problems with its implementation at station level.

To this end, the reader is presented with an overview of the relevant literature pertaining to performance appraisals. The shift in managerial philosophy and the organisational change from a force to a service and its effect on performance appraisals are discussed. The results of the empirical study are presented and it is concluded that there are various problems with the implementation of PEP at station level. The researcher presents the following practical recommendations:

- Conduct an audit;
- Eliminate structural problems;
- Adequate appraiser training;
- Appraisee training;
- Connect the PA system to other organisation systems; and
- Obtain a charter from top management.

The reader is then presented with a conclusion of the research.



## Opsomming

Die doel van die tesis is om die prestasie waardering stelsel van die Suid Afrikaanse Polisie Dienste, naamlik die Prestasie Verbeterings Proses (PEP), te evalueer te Parow. Die uitgangspunt van die studie is dat PEP 'n gesonde beleidsdokument is, maar dat daar egter potensiële probleme is met die implementering daarvan op stasie vlak.

Om hieraan te voldoen, word die leser voorsien van 'n oorsig oor die toepaslike literatuur betrokke tot prestasie waardering. Die verskuiwing in bestuursfilosofie en die organisatoriese verandering van 'n mag tot 'n diens en die effek op prestasie waardering word bespreek. Die uitslae van die empiriese studie word aangebied en die gevolgtrekking word gemaak dat daar wel verskeie probleme is met die implementering van PEP op stasievlak. Die navorser bied die volgende prakiese aanbevelings aan:

- Die aanvoer van 'n oudit;
- Eliminering van strukturele probleme;
- Voldoende "appraiser" opleiding;
- "Appraisee" opleiding;
- Opkoppeling van die waardeeringstelsel met ander organisatoriese stelsels; en
- Kry 'n handves van topbestuur.

Die leser voorsien van 'n gevolgtrekking oor die studie.

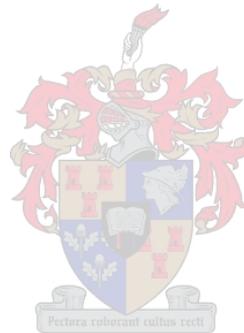


## **Declaration**

I, the undersigned, hereby declare that the work contained in this thesis is my own original work and that I have not previously in its entirety or in part submitted it to any university for a degree.

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B. Krause

January 2004



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# CHAPTER 1

## Orientation and research review

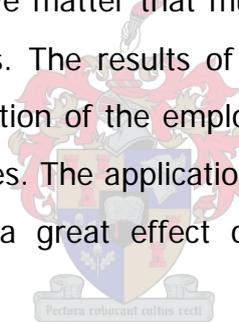
### 1.1. Introduction

According to Wynne (1995:1), success in business, whether for the organisation, the business unit or the individual, depends on knowing the goal, purpose and direction, on knowing the capabilities of the people, and on being able to understand and measure the past performance in order to plan to achieve continuous improvement in the future.

Swanepoel (1998:401) states that in performing their daily managerial activities, supervisors and managers ought to continuously assess on an informal basis how well their subordinates are doing their work. Such an informal assessment enables the individual manager to make the necessary decisions regarding the most effective utilisation of staff, motivating those who perform well and rectifying substandard performance. Informal appraisal, which usually results in an overall impression of worker efficiency and effectiveness, often operates satisfactorily in small organisations where the management knows and interacts with all employees. Swanepoel (1998:402) states that even though it may be argued that effective supervisors continually provide informal feedback to their subordinates, the information generated through an unsystematic, informal evaluation has limited value for making valid and justifiable human resource management decisions in a large organisational context. In such a context accurate performance data obtained through standard processes is required for activities such as workforce planning, training and development and succession planning. Most organisations therefore have a need for a formal performance appraisal system and it is in the areas of the development, implementation, maintenance and utilisation of such systems that the human resource specialist has to play a leading role.

Doris in Gerber, Nel and van Dyk (1998:169), however believes that performance appraisal very often does not receive the attention it deserves in the organisation. Many managers simply do not like the idea of appraising their subordinates and sometimes put it off until the last minute. Performance appraisal provides the opportunity for the organisation to evaluate and take stock of its human resources. It also provides information so that important decisions can be taken, and gives feedback for the further development of staff. It gives management the opportunity for communication with staff, to clarify expectations and to participate in the development of each staff member.

Gerber *et al* (1998:169) adds that the appraisal of an employee's performance or task execution is a sensitive matter that must be handled with great care by managers and supervisors. The results of such an appraisal are directly related to the intrinsic motivation of the employee, his or her self-image and status among fellow employees. The application of performance appraisal in a scientific manner can have a great effect on the individual performance orientation of employees.



The purpose of performance appraisal may differ from one organisation to another; for example, some organisations use the appraisal as a basis for performance-related pay, while other believe that appraisal should be related to an employee's motivation and not have any overt relationship to pay. Some organisations go so far as to conduct two appraisals: one related to assessing and measuring performance and setting objectives for the future and the other to considering the personal and career development of the individual.

The actual purpose of any specific appraisal system must be related to the requirements and objectives of the organisation. It is, however, possible to

identify some key considerations, which will usually be included as reasons for appraisal. According to Wynne (1995:2-3), in most cases these will include:

- To review past and present performance, identifying strengths and weaknesses.
- To provide feedback to the individual regarding how their performance is perceived.
- To assess future promotability and potential.
- To assess training needs.
- To plan for career development.
- To assess and develop individual abilities.
- To provide an objective basis on which to base decisions about training, promotion and pay.
- To provide an opportunity for career counselling.
- To motivate employees.
- To clarify, for the individual, organisational expectations.
- To provide an opportunity for the individual to raise questions and concerns.
- To set objectives for the next period.
- To help achieve corporate and personal objectives in a planned and controlled way.
- To assist with succession planning.

As can be seen from the above, the precise and particular reasons for any individual appraisal system may vary. What is important, however, is that each organisation thinks through what it is seeking to achieve and ensures that the appraisal system it introduces enables it to achieve these objects.

The researcher intends assessing the performance appraisal mechanism of the South African Police Services (SAPS), which is known as the Performance Enhancement Process (PEP) at, SAPS Parow. To achieve this the researcher will conduct a literature review on performance appraisal, examine the development of performance appraisal within the SAPS, administer a self-

administered questionnaire, identify any shortcomings and provide certain recommendations to improve PEP. A relationship exists between this study and the research of Malaza (2001). Malaza's research was done on the performance appraisal system of the Durban City Police. Malaza (2001:10) identifies the limitations of that study, which relates to aspects regarding the fieldwork of the study.

The researcher intends improving on some of the research challenges identified by Malaza by having a larger population to whom to administer the questionnaire. In addition a period of three weeks has been allocated to the analysis and interpretation of findings of the questionnaire.

## **1.2. Motivation**

A broad statutory framework within which performance management and performance appraisal is mandated is described by:

- Chapter 10. Section 195(1)(h) of the Constitution Act 108 of 1996, states that good human-resource management and career-development practices, to maximise human potential, must be cultivated. Although not explicitly stated this section implies a shift to performance management.
- Part VIII of the Public Service Regulation (2001) relates to performance and the assessment of performance.

In addition, the Public Finance Management Act, Act 1 of 1999, emphasises the need to ensure that performance measures and indicators are developed as an integral part of the planning process, and that the systems and processes can provide the relevant information. Although this responsibility is that of accounting officers of departments, this aspect can be cascaded to the lowest level of management.

These aspects have caused the prescription of performance management in the South African Police Amendment Act of 1999, which emphasises the

formulation of a performance culture in the SAPS. This facilitated the formulation of the National Instructions within the SAPS regarding the Performance Enhancement Process (PEP), which prescribes the implementation of this performance appraisal system, as the performance appraisal system to be used within the SAPS.

Within this context the researcher will attempt to, in light of the importance of performance appraisal, assess perceptions of members on the performance appraisal system of the SAPS. The researcher is currently employed by the SAPS and holds the position of shift commander (junior manager in the line function). The experience of the researcher indicates that the implementation of PEP in various departments or sections within the SAPS depends on:

- The method of implementation used;
- The level of training of senior commanders received in PEP; and
- The attitude of senior commanders towards PEP.

The fact that PEP was implemented within the SAPS and was not connected to any other system such as Human Resources or Financial, leads many members to believe that the process is a mere administrative exercise and an additional burden, while members are still expected to perform according to PEP, without any motivation from the organisation. The above-mentioned factors compared to possible benefits of an effective PEP system within the SAPS, serve as the motivation for this research report.

### **1.3. Problem Description**

The SAPS is moving towards a performance culture. Performance management is therefore needed to improve service delivery. The PEP policy appears to be a sound document, but the researcher perceives problems with its implementation at station level. Therefore an evaluation of the perceptions and opinions of station members on the implementation of PEP at Parow

SAPS will be done to determine possible problems and make recommendations.

#### **1.4. Research Methodology**

The research methodology used by the researcher is the case-study design type with quantitative and qualitative methodologies. Mouton (2001:149) states that case studies are studies that are usually qualitative in nature and are aimed at providing an in-depth description of a small number of cases, usually less than 50. Case studies employ an inductive and a-theoretical mode of reasoning. No hypothesis is formulated and in some cases "general ideas" act to guide the empirical research. The sampling selection utilised is that of theoretical or judgement sampling (Mouton 2001:149).

##### **Quantitative methodologies:**

A self-administered questionnaire will be administered to the personnel at SAPS Parow. This type of attitudinal questionnaire, resides under the survey design type. Mouton (2001:152-153) states that surveys are studies that are usually quantitative in nature and which aim to provide a broad overview of a representative sample of a large population. Surveys can either be theory driven (analytical surveys) and aim to test hypotheses, or are much more inductive and a-theoretical (exploratory studies or pilot surveys). Surveys make use of probabilistic sampling in most cases, although non-probabilistic sampling (convenience or quota sampling) is often used especially in market research. The mode of analysis is that of descriptive and inferential statistics. In the analysis of large survey data sets, typical techniques would include tabulations, correlations, regression analysis, factor analysis and the use of statistical graphics such as bar charts, plots and pie charts for more visual presentation.

The questionnaire is aimed at testing the member's perceptions about PEP and the implementation of PEP. The questionnaire will consist of 21 questions

comprising of open and closed questions. The personnel at SAPS Parow are the target population and the entire population will be used. The researcher will make use of non probability-accidental sampling in the administering of the questionnaire.

The method of analysis utilised is content analysis and the computer-added software package, Statistical Package for Social Sciences (SPSS) is used to ensure that the balance of open and closed questions are maintained.

### **Qualitative methodologies:**

The researcher will make use of unstructured interviews of which the target population are component heads at SAPS Parow and PEP coordinators at SAPS East Metropole Area office. In addition the researcher will conduct a relevant documentary analysis to evaluate the implementation of PEP. Mouton (2001:158-159) states that an implementation evaluation research aims to answer the question of whether an intervention, in this case the PEP policy, has been properly implemented, whether the target group has been adequately covered and whether the intervention was implemented as designed. Sources of data for implementation evaluation research include both structured (questionnaires, tests and scales) and less structured (focus on groups, individual interviews and participation observation), as well as analysing existing documentary sources (annual reports, field records, participation records, etc.). The method of analysis used will be content analysis.

### **1.5. Clarification of Concepts**

The PEP User Guide (2001:56-58) provides clarification of the following concepts.

**Competency** – A competency is the skill and/or personal attribute a person requires in order to perform a particular task. Competencies are frequently

divided into Opescaleal and Behavioural Competencies. The former tend to identify skills, while the latter tend to refer more to personal attributes.

**Developmental Plan** – A Developmental Plan is the plan of action agreed to between a supervised employee and his or her supervisor in order to enhance the competencies of the supervised employee. It could include formal and informal training and on-the-job learning. A Developmental Plan is normally formulated and agreed between supervisor and supervised employee at the end of a performance appraisal interview.

**Key Performance Areas (KPA)s** – Key performance areas are the deliverables that have to be achieved by a manager or incumbent in a particular job, in order to achieve or help achieve the strategic objectives of the Service. KPAs must be clearly defined in the relevant job description and Performance Plan.

**Performance Appraisal or Assessment** – Performance Appraisal or Performance Assessment is the measurement of an individual's performance on the job against objective, pre-agreed standards. The purpose of Performance Appraisal is developmental rather than punitive. The aim is to establish benchmarks for enhanced performance and put in place developmental plans for job-supervised employees in order to improve service delivery.

**Performance Enhancement Process (PEP)** – A Performance Enhancement (PEP) is an integrated process that defines, assesses, reinforces and promotes the best job-related behaviours, outputs and expected deliverables. It is the series of actions that need to be implemented to improve performance in an organisation. These actions normally comprise the implementation of the various components of a Performance Enhancement System.

**Performance Enhancement System** – A Performance Enhancement System comprises all the components required to successfully manage performance. It includes a job description, job purpose, and a performance plan with KPAs clearly defined, a performance appraisal instrument or form, the actual performance review interview, ongoing monitoring and reporting mechanisms.

**Performance Plan** – A Performance Plan is a list of specific tasks that have to be performed in order to achieve the Key Performance Areas (KPAs). Performance Plans must include the outcome of each KPA and the standards in terms of which the outcomes will be measured, for example, deadlines, the quantity, quality and the cost.

**Strategic Objectives** – Strategic objectives are the specific goals that have to be achieved by the Service in order to achieve its vision. The Service's strategic objectives must be cascaded to all levels of the organisation and translated into key performance areas (KPAs) of senior managers. These are implemented through business and/or sectional plans at stations, units or components. These may either be opescaleal or organisational in nature, and must be accommodated in the job descriptions of respective employees to ensure that everyone, in performing their jobs, is helping the organisation achieve its vision.

## **1.6 Framework of Chapters**

Chapter one provides a brief introduction, problem statement conceptualisation and background on the research report. It describes the research methodology and the measuring instruments used in the analysis of data. In addition it provides an overview of the entire research report.

Chapter two reviews the relevant literature pertaining to performance management and performance appraisals, their uses, approaches to and a description of appraisal methods.

Chapter three provides a background of the SAPS, its transformation, the managerial philosophy and the evolution of performance appraisals within the SAPS.

Chapter four focuses on the SAPS Parow case study, the data collection and analysis and the interpretation of data collected through the questionnaire administered at SAPS Parow.

Chapter five presents recommendations based on analysis of data obtained from the questionnaire administered in chapter four.

Chapter six concludes the research report with concluding remarks.

## **1.7 Conclusion**

This chapter served as an introduction to the research. It commenced with an introductory explanation of the performance appraisal process, which was followed by the motivation for the research. The third topic of discussion was a description of the research problem. A detailed description was given of the planned research methodology. In addition, several concepts, which will be used during the research, were classified. The chapter was concluded by a framework of chapters, which serve as a road map of the research. The following chapter will focus in more detail on the process of performance management and appraisal.

## CHAPTER 2

### Literature review: Performance Appraisal

#### **2.1 Introduction**

This chapter provides a description of performance appraisal and its relationship to performance management. The major research and the content orientations to appraisals are identified and described. There is no dominant paradigm in appraisal; there are multiple theoretical orientations and strategies. This aspect can be viewed as both a strength and weakness.

The framework for this chapter starts with defining performance and performance appraisal and performance management. A discussion of the performance criteria and the purpose of performance appraisals follow this. The third topic of discussion is the step in developing a Performance Appraisal system. This is followed by the requirements for an effective appraisal system. The fifth topic is a discussion on the methods and instruments of appraisals. This is followed by a section dealing with, who should do the evaluations. The eighth topic deals with the common rated errors. This is followed by a brief discussion of the appraisal interview and problems associated with the appraisal interview. The conclusion summarises the various aspects dealt with in this chapter.

#### **2.2 The Meaning of Performance**

Before a definition can be supplied for performance appraisal or performance management, Armstrong (1999:430) raises an important point: What is meant by the word performance? Without a clear and acceptable definition of performance, a definition for performance appraisal or performance management would be worthless. According to Bates and Holton (1995) in Armstrong (1999:430), performance is a multi – dimensional construct, the measurement of which varies depending on a variety of factors. They also

state that it is important to determine whether the measurement objective is to assess performance outcomes or behaviour.

Bernadin *et al* (1995) in Armstrong (1999:430) are concerned that 'Performance should be defined as the outcomes of work because they provide the strongest linkage to the strategic goals of the organisation, customer satisfaction and economic contributions.' With a better understanding of the meaning of performance one can now look at definitions of performance appraisal and performance management.

### **2.3 Performance Appraisals and Performance Management**

According to Robbins and Coulter (1999:631), performance appraisal (PA) is a process of evaluating individuals in order to arrive at objective human resource decisions. Grobler, Wörnich, Carrell, Elbert and Hatfield (2002:260) believe that PA is the ongoing process of evaluating and managing both the behaviour and outcomes in the workplace. Swanepoel (1998:402), who possibly provides a more complete definition, believes that, PA may be defined as a formal and systematic process by means of which the job relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed.

According to Grobler *et al* (2002:260) performance management, a broader term than performance appraisal, became popular in the 1980's as total quality management (TQM) programmes emphasised using all the management tools, including performance appraisal, to ensure achievement of performance goals. De Waal (2001:8) believes that performance management can be defined as the process that enables an organisation to deliver a predictable contribution to sustained value creation. Performance management can be regarded as an ongoing process that involves the planning, managing, reviewing, rewarding and development of performance (Spangenberg 1994:29).

Swanepoel (1998:404 – 405) mentions that increasingly competitive business environments, criticism of traditional approaches to PA and the emergence of the concept of total quality management have led to a shift in emphasis from performance appraisal to performance management. While PA systems are often no more than a system of measurement, that is, a specific form together with certain written rules and procedures controlling its use, the concept of performance management signifies an attempt to entrench PA as a legitimate and integral part of a manager's job of getting subordinates effectively to achieve the results and goals expected of them.

## **2.4 Performance Criteria**

Schuler and Jackson (1996:350-351) distinguish between three types of performance criteria:

- **Trait –based criteria.**

Focus on the personal characteristics of an employee, e.g. loyalty, dependability, creativity and communications skills. Here the focus is on what a person is and not on he or she does or accomplishes on the job.

- **Behaviour – based criteria.**

These are concerned with specific behaviours that lead to job success. For example, instead of ranking leadership ability (a trait), the rater is asked to assess whether an employee exhibits certain behaviours, e.g. works "rather" well with co-workers'.

- **Outcome – based criteria**

This is a focus on what was accomplished or produced rather than how it was accomplished or produced. It is important to note that this type of criterion is more appropriate for every job and that often it is criticised for missing important aspects of the job, such as quality (Grobler *et al*

2002:260 – 263). Swanepoel (1998:415) and Carrell, Elbert, Hatfield, Grobler, Marx, and van der Schyf (1997:258-260) agree with these classifications.

## **2.5 Purposes of Performances Appraisal**

Swanepoel (1998:403) suggests that many uses and purposes of performance appraisal have been advanced, but generally these can be categorised under the headings of administrative purposes and development purposes.

**2.5.1 Administrative Purposes**, as stated by Swanepoel (1998:403) are concerned with the use of performance data as bases for human resource decision-making, including:

- Human resource planning, for example compiling skills inventories, obtaining information regarding new position to be created, and developing succession plans;
- Reward decisions, including salary and wage increases (or withholding thereof), merit bonuses, etc;
- Placement decisions such as promotions, transfers, dismissals and retrenchments; and
- Personnel research, for example validating selection procedures by using appraisals as criteria or evaluating the effectiveness of training programmes.

**2.5.2 Developmental Purposes** of performances appraisal as stated by Swanepoel (1998:403), focus on developmental functions of the individual as well as the organisational level. Appraisals can serve individual development purposes by:

- Providing employees with feedback on their strengths and weaknesses

and on how to improve future performance;

- Aiding career planning and development; and
- Providing inputs for personal remedial interventions, for example referral to an Employee Assistance Programme (performance impairments may be due to factors outside the work environment).

**2.5.3 Organisational Development**, as stated by Swanepoel (1998:403) purposes may include:

- Facilitating organisational diagnosis and development by specifying performance levels and suggesting overall training needs;
- Providing essential information for affirmative action programmes, job redesign efforts, multi-skill programmes,
- Promoting effective communication within the organisation through ongoing interaction between superiors and subordinates.

Carrell *et al* (1997:260-261) disagree somewhat with this classification, by distinguishing between evaluative objectives and developmental objectives. The crux of the matter however stays the same.

## **2.6 Steps in Developing a PA System**

Various authors, see Swanepoel (1998:412 – 415), Grobler *et al* (2002:267 –268), describe the steps in developing a PA system. While there is no generic PA system for all organisations, Naisby (2002:12 – 17) provides a very practical model for building a PA system.

### **2.6.1 Firm Foundation – Laid by directors and senior managers**

A firm foundation relates to the commitment from management and the organisation and consists of three parts:

Firstly, the organisational or company ethos which should be linked to their values system. Secondly a minimal organisational performance

appraisal policy, underpinning the ethos. Thirdly an appraisal and review system

Based on a logical, dependency sequence (when one action is dependent on another being carried out first; and  
Appropriate supporting documentation.

### **2.6.2 Ground Floor**

The ground floor serves as preparation of the administrative foundation of the performance appraisal.

The ground floor provides for the determining of the following:

#### **Job descriptions**

Drawn up to consultation, relevant and specific showing:

- Objectives
- Accountability
- Key tasks and responsibilities



#### **Key results areas**

Tasks and responsibilities, which must be carried out to meet the job objectives, are determined.

#### **Standards, competencies and targets**

Minimum standards of performance for tasks and responsibilities are determined. The manager should also set specific measurable targets for individuals to improve and develop performance.

### **2.6.3 First Floor**

#### **Preparation**

This consists of all the prior planning and preparation by the manager and individual, to enable the appraisal to take place effectively.

## **Pre meeting**

A pre-meeting briefing is particularly important when the system has changed or the manager has not appraised the individual. The time and effort invested will largely determine the appraisal outcome; 'Fail to prepare and you prepare to fail'.

### **2.6.4 Second Floor**

The second floor relates to the preparation for the appraisal interview and consists of:

#### **The performance appraisal**

Consists of three parts:

- A review of the past, from which to learn;
- A preview from the future, to set objectives, standards and targets, and to improve performance; and
- The identification of training and development needs.

#### **Action Plans**

To identify:

- Specific actions required, accountability and deadlines; and
- Support and training needed to aid the individual's improvement and development.

The manager's manager who reviews and signs the appraisal usually monitors the process.

### **2.6.5 Roof Implementation**

As a manager, you need to ensure that the appraisal is part of a continuous performance management process through:

### **Personal development plans**

To record the route and time-scale by which individuals will be supported and trained

### **Regular one to one reviews**

To monitor and evaluate performance and progress against objectives, key result areas, standards, targets and projects. As one-to-one reviews are such an important part of the appraisal process they are discussed in more detail overleaf.

## **2.7 Requirements for an Effective Appraisal System**

Cascio (1995:277-279), mentions the following as the key requirements for any appraisal system:

**2.7.1 Relevance.** This implies that there are (1) clear links between the performance standards for a particular job and an organisation's goals and (2) clear link between the critical job elements identified through a job analysis and the dimensions to be rated on an appraisal form. In short relevance is determine by answering the question "What really makes the difference between success and failure on a particular job?"

**2.7.2 Sensitivity.** This implies that a performance appraisal system is capable of distinguishing effective from ineffective performers. If it's not, and the best employees are rated no differently from the worst employees, then the appraisal system cannot be used for any administrative purpose and it certainly will not help employees to develop, and it will undermine the motivation of both supervisors (pointless paperwork) and subordinates.

**2.7.3 Reliability.** A third requirement of sound appraisal systems is reliability. In this context it refers to consistency of judgement. For any given employee, appraisals made by raters working independently of one another should agree closely. But raters with different perspectives (e.g. supervisors, peers, subordinates) may see the same individual's job performance very differently. To provide reliable data, each rater must have an adequate opportunity to observe what the employee has done and the conditions under which he or she has done it, otherwise unreliability may be confused with unfamiliarity.

**2.7.4 Acceptability.** In practice, acceptability is the most important requirement of all, for it is true that human resource programmes must have the support of those who will use them, or else human ingenuity will be used to thwart them. Unfortunately many organisations have not put much effort into garnering the front – end support and participation of those who will use the appraisal system. Swanepoel (1998:407) adds that the acceptability of a system is an extremely important prerequisite, since the support and perceived legitimacy a system receives from both managers and employees will probably carry more weight in determining its success than its inherent technical soundness.

**2.7.5 Practicality.** This implies that appraisals are easy for managers and employees to understand and use. Swanepoel (1998:407) adds it should thus be “user friendly” and manageable in terms of the amount of administrative (time and paperwork) it requires and in terms of its cost – effectiveness.

In addition to these requirements, Swanepoel (1998:407) adds the following requirement:

### **2.7.6 Freedom from Contamination**

The system should be able to measure individual performance without being contaminated by extraneous factors that are outside the employee's control, for example material shortages, inappropriate equipment or procedures.

## **2.8. Methods of Appraisal and Instruments**

According to Grobler *et al* (2002:269), the methods chosen and instruments used to implement these methods are critical in determining whether the organisation manages its performance successfully. The dimensions listed on a PA form often determine which behaviour employees attempt and raters seek, and which are neglected. PA methods and instruments should signal the operational goals and objectives to the individuals, groups and the organisation at large. Traditionally, PA methods were broken into two categories based on the standards for success chosen. These methods will be discussed next.

Comparative methods, such as ranking or forced distribution, rate the overall performance of one employee directly against that of other employees. Absolute standards methods, such as rating scales or management by objectives rate the employee against some objective related or imaginary goal(s). Swanepoel (1998:415) concurs with this categorisation. As a result of the expansion of methods used for PA, a more detailed discussion will be helpful.

### **2.8.1 Work Standards**

Carrell *et al* (1998:267) state that work standards are used primarily to measure the performance of clerical and manufacturing employees whose jobs are production or output-oriented. Work standards establish the normal or average production output for employees on the job. Standards are set according to the production per hour or the time spent per unit processed or served. This standard allows organisations to pay

employees on a piece-rate basis. Time-and-motion studies can be used to set output criteria for persons on particular jobs. Few organisations utilise work standards as the only PA method. In many cases, production standards are used as part of an appraisal process, especially if the organisation pays on a piece-rate basis. Whether rating an individual or a team, quantity of production is only one aspect of performance; other aspects (quality, safety, planning, training, maintenance activities, etc.) must be included. An individual output depends on the performance of others, so it may be unfair to make promotion or pay decisions based solely on the number of units that the person completes each hour.

## **2.8.2 Rating Scales**

### **2.8.2.1 Graphic Rating Scales**

This method is one of the oldest and most popular methods of appraisal (Robbins and Coulter 1999:632). Cascio (1995:286) states, that this method lists a set of performance factors such as quantity and quality of work, job knowledge, co-operation, loyalty, attendance, honesty, and initiative. The evaluator then goes down the list and rates each on an incremental scale. The rating is often done on some form of 1-3 or 1-5 Likert-type scale, with 1 representing very unsatisfactory and 5 representing excellent.

Graphic rating scales are popular because they are less time-consuming to develop and administer. They also allow for quantitative analysis and comparison. Schuler and Jackson (1996:362) state that the primary advantage of graphic rating scales lies in its simplicity.

### **2.8.2.2 Non-graphic Rating Scales**

Grobler *et al* (2002:270) distinguishes rating scales between graphic and non-graphic rating scales. A non-graphic scale is usually more valid than a graphic scale because the former contains a brief description of each point on a scale rather than simply low and high points of a scale. The

rater can give a more accurate description of the employee's behaviour on a particular attribute because a description clarifies each level of the rating scale. On the graphic scale, raters arbitrarily decide what various points represent about an attribute; for example, what is below average co-opescale?

Non-graphic rating scales shares similar strengths and weaknesses to those of graphic rating scales in that they are quick, easy and less difficult for supervisors, but they are also prone to rating errors and not being related to a specific job.

### **2.8.3 Comparative / Relative Methods**

Comparative or relative methods are used to avoid the tendency of supervisors to assign uniform ratings to employees regardless of performance. This method is used to tease out differences between employees by providing direct comparisons (Carrell *et al*, 1997:272). This method consists of:

**Ranking:** Simple ranking requires only that a rater orders all employees from highest to lowest, from "best" employee to "worst" employee. Alternation ranking requires that a rater initially list all employees on a sheet of paper. From this list he or she first chooses the best employee (No.1), then the worst employee (No. n), then the second best (No.2), then the second worst (No.n-1), and so forth, alternating from the top to the bottom of the list until all employees have been ranked (Cascio 1995:285). Beach (1980:300) refers to ranking as alternative ranking, while McCormick and Ilgen (1980:74) agree.

Grobler *et al* (2002:275) adds that the advantage of ranking is that it is fast and easy to complete. A numerical evaluation given to the employees can be directly related to compensation changes or staffing considerations. In addition, ranking completely avoids problems of central tendency or leniency. There are, however, serious disadvantages.

Ranking is seldom developmental because employees do not receive feedback about performance strengths and weaknesses or any future direction. Ranking assumes that each department has employees who can be distributed fairly over a range from best to worst. Finally, when ranking is used, there is no common standard of performance by which to compare employees from various departments since employees in each department are compared only with each other. Many employers rank employees and use other PA methods so that they can gain the advantages while avoiding the pitfalls of this method.

**2.8.3.1 Forced Distribution:** This is another method of comparing employees to one another. As the name forced distribution implies, the overall distribution of ratings is forced into a normal, or bell-shaped, curve on the assumption that a relatively small portion of employees are truly outstanding, a relatively small portion are unsatisfactory, and everybody else falls in-between.

Forced distribution does eliminate clustering almost all employees at the top of the distribution (rater leniency), at the bottom of the distribution (rater severity), or in the middle (central tendency). However, it can foster a great deal of employee resentment if an entire group of employees as a group is either superior or substandard. It is most useful when a large number of employees must be rated and there is more than one rater (Cascio 1995:285).

**2.8.3.2 Paired Comparison.** Another comparative method of performance appraisal involves paired comparison. De Cenzo & Robbins (1999:300) state that the paired comparison method is calculated by taking the total of comparisons. A score is obtained for each employee by simply counting the number of pairs in which the individual is the preferred member. It ranks each individual in relationship to all others on a one-on-one basis. If 10 employees are being evaluated, the first

person is compared, one by one, with each of the other nine, and the number of times this person is preferred in any of the nine pairs is tabulated. Each of the remaining nine persons, in turn, is compared in the same way, and the greatest number of preferred "victories" forms a ranking. This method ensures that each employee is compared against every other, but the method can become unwieldy when large numbers of employees are being compared.

McCormick and Ilgen (1980 : 74-75) agree with this classification and the problem with this procedure when there are large numbers of ratees, because the numbers of pairs increase with the number of ratees.

#### **2.8.4 Critical Incidents.**

This technique requires the superior to observe and records things that subordinates do that are particularly effective or ineffective in accomplishing their jobs. These incidents generally provide descriptions of the ratee's behaviour and the situations in which those behaviours occurred. Then when the superior gives feedback to the subordinate, it is based on specific behaviours rather than personal characteristics or traits, such as dependability, forcefulness, or loyalty. This feature of the critical incidence can increase the chances that the subordinate will improve since he or she learns more specifically what is expected. Drawbacks of the critical incident technique include the fact it is time-consuming for the superior to keep records ("little black books") on each subordinate, it is non quantitative, the incidents are not differentiated in terms of their importance to job performance and it is hard to compare subordinates because the incidents recorded for each one can be quite different. Milkovich and Boudreau (1994:175) add that critical incidents can be included in almost any type of performance assessment technique. The following are various types of critical incidents:

**2.8.4.1 Annual Review File or Calendar.** Carrell *et al* (1997:274-275) add that one form of the method is for the supervisor or appraiser to keep an ongoing record of his or her employees' critical incidents contemporaneously during the period of appraisal. If the review period is one year, the supervisor can keep a file (computer or paper) or calendar in which the outstandingly good or bad examples of subordinates' performance are entered. The supervisor would then make an annual review of this file or calendar before preparing for the PA.

**2.8.4.2 Checklist of Critical Incidents.** Grobler *et al* (2002:227) state that critical incidents may also be used in PA by developing a checklist of critical behaviours related to an employee's performance. Such an appraisal form may have 20 or 30 critical items for one specific job. The supervisor simply ticks whether the employee has performed in a superior manner in any one of the incidents.

### **2.8.5 Behaviourally Anchored Rating Scales (BARS)**

According to Cascio (1995:287), these are a variation of the simple graphic rating scale. Their major advantage is that they define the dimensions to be rated in behavioural terms and use critical incidents to describe various levels of performance. BARS therefore provide a common frame of reference for raters. BARS require considerable effort to develop, yet there is little research evidence to support the superiority of BARS over other types of rating systems. Nevertheless, the participative process required to develop them provides information that is useful for other organisational purposes, such as communicating clearly to employees exactly what good performance means in the context of their jobs.

Flippo (1984:234) states that the critical-incident approach has been merged with the graphic-rating concept to produce behaviourally

anchored rating scales (BARS). These include two types: (1) Behaviour Expectation Scales (BES), where anchors are illustrative scales that help the rater to define as superior, average, or below average the behaviour of the employee, and (2) Behaviour Observation Scales (BOS), where the rater reports the frequency with which the employee engages in the behaviour specified in the anchor.

BARS may also have important advantages; Grobler *et al* (2002:277) add the following:

- A more accurate gauge. People who know the job and its requirements better than anyone else should develop the BARS. The result should therefore be a good gauge of performance on the job.
- Clearer standards. The critical incidents along the scale help to clarify what is meant by extremely good performance, average performance, and so forth.
- Feedback. The critical incidents may be more useful in providing feedback to appraisees than simply informing them of their performance rating without providing specific behaviour examples.
- Independent dimensions. Systematically clustering the critical incidents into five or six performance dimensions should help to make the dimensions more independent of one another. For example, a rater should be less likely to rate an employee high on all dimensions simply because he/she was rated high in conscientiousness.
- Consistency. BARS evaluations also seem to be relatively consistent and reliable in that different raters' appraisal of the same person tend to be similar (Grobler *et al* 2002:277).

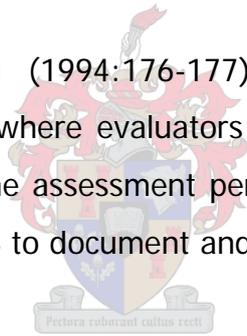
### **2.8.6 Essay Method**

According to Beach (1985:215), in the essay method the rater describes the performance, traits, and behaviour of the employee. The essay can be completely free flowing but more commonly the personnel office devises a form which asks each supervisor to answer in his own words

such general questions as the strengths and weaknesses of the employee, leadership ability, technical effectiveness, promotion potential, and development needs. Very often the essay method is combined with the conventional rating scale form.

Ivancevich (1998:274) states that there is criticism about the accuracy and relevance of essay evaluations. However, they do offer flexibility, and in an organisation that emphasises customer satisfaction, an evaluator can specifically address the ratee's achievements in this area. This flexibility to discuss what the organisation is attempting to accomplish is one strength of essays. On the other hand, comparing essays written by the same or different raters is difficult. Skilled writers can paint a better picture of an employee than can unskilled writers.

Milkovich and Boudreau (1994:176-177) add that essays can be constructed from diaries where evaluators have recorded and observed critical incidents during the assessment period. Essays can also be used with rating scales or BARS to document and elaborate on the findings.



Carrell *et al* (1997:275) add that essays are not very useful for evaluative purposes; 200 essays describing different employees' performances cannot easily be linked to merit increases and promotion because there is no common standard.

### **2.8.7 Management by Objectives (MBO)**

Management by objectives (MBO) is a management philosophy that focuses on the motivation of individual performance, but due to its process can also be used for evaluating performance. This method typically entails:

- supervisors and employees mutually establishing and discussing specific goals and formulating action plans;
- supervisors aiding their employees to reach their set goals; and

- each supervisor and employee reviewing at a particular time, the extent to which objectives have been attained (Swanepoel 1998:421).

Robbins & Coulter (1999:633) state that with MBO, employees are evaluated by how well they accomplish a specific set of objectives that have been determined to be critical in the successful completion of their jobs. These objectives need to be tangible, verifiable, and measurable. The popularity of MBO for assessment is due to its focus on end goals. Managers tend to emphasise such results-orientated outcomes as profit, sales, and costs. This MBO emphasises ends rather than means; this appraisal method gives managers the discretion to choose the best ways to achieve their goals.

According to Carrell *et al* (1992:282), the advantages of the MBO method include: Both the supervisor and the employee participate in the appraisal process. The focus of the appraisal process is on specific goals and not on broad personality traits such as dependability or co-opescale. Goals and objectives are determined before the appraisal period begins, previously discussed methods of appraisal take place after the employee's performance has occurred. The MBO process gives employees direction before the appraisal period begins, it is developmental in defining the direction employees should take and the expected level of achievement. The disadvantage of the MBO procedure is the time and effort that must be spent by both the supervisor and the subordinate in the appraisal process. Swanepoel (1998:421-422) adds that as a result-based method of appraisal, MBO does not address the how of performance and is therefore unable to appraise whether achievements are really the outcome of individual excellence or of external factors. Ivancevich and Glueck (1986:303) agree with this assessment.

Swanepoel (1998:421) adds that since its heyday when MBO was (unfortunately) hailed as the panacea for all management ills, its popularity has declined to the extent that it has largely been relegated to just another planning exercise. However, its emphasis on mutual goal setting, opportunities for participation and regular supervisor-employee interaction are valuable components that are applied in many performance management systems.

### **2.8.8 Combination Methods.**

Grobler *et al* (2002:285) state that it has become common practice to combine two or even three PA methods into an overall PA programme. The emphasis is to provide a more in-depth appraisal.

### **2.8.9 360-Degree Appraisals**

Anthony, Perrewe & Kacmar (1999:377) state that 360-degree appraisal is the process in which an individual receives performance feedback from subordinates, peers, supervisors, and even internal and external customers and that it is the "hottest" new approach to performance appraisals. Those who have used this multi-rater feedback process tend to be very positive about the value added. Multi-rater feedback can focus on performance issues often neglected in the typical supervisor/subordinate appraisal. There is a realisation that the traditional approach to performance appraisals is not adequate with the new emphasis on teamwork, empowerment, and total quality management. Instead, a more flexible system that incorporates feedback from the people the employee most closely works with is more appropriate.

Swanepoel (1998:423) states that this approach fits more comfortably with the latest trends in leadership thinking and with strategies emphasising aspects like empowerment, self-responsibility and teamwork. Using multiple data sources can also go a long way in helping to make performance appraisal more fair, simply because elements of

subjectivity are lessened and a more balanced view of a person's actual work performance can be created. This can hence also lead to more accurate training need analyses and the ability to draft more realistic personal development plans (PDPs). It also provides a rich source on which to base one-to-one developmental processes like mentoring and coaching. It furthermore serves the purpose of opening up communication and information flows in the organisation, and in this way it supports a more transparent and democratic management. Because it involves customers it is also a valuable means to demonstrate to the customers that the organisation is really customer-focussed.

Naisby (2002:36-37) provides the following benefits and drawbacks of a 360-degree appraisal.

#### **2.8.9.1 Benefits**

360-degree appraisal provides all-round feedback from staff, colleagues, internal and sometimes external customers or suppliers. Management can evaluate the impact on these individuals and use this knowledge to improve results and relationships. 360-degree appraisal stimulates cultural change, in this fast-changing and competitive world, organisations need empowered people who can use their initiative to provide rapid, flexible responses. To change from managing to leading. Business objectives are more steadily achieved through holistic feedback, greater self-awareness and continuous improvement, which release people's full energies and talents. Bernadin and Russell (1998:256) concur.

#### **2.8.9.2 Drawbacks**

Although the process has the potential to deliver many benefits, it is not suitable for every organisation because of its complexity. 360-degree appraisal requires the most research, pre-assessment time, knowledge to develop and skills to implement. It requires reciprocal openness, honesty

and respect – it would be inappropriate in a complacent, top-down or blame culture, where little or no feedback is given. The process will raise expectations and identify training and development needs. As a result, it would be counterproductive to introduce it if inadequate support and follow-up systems are in place. Bernadin and Russell (1998:256) add the drawback of rater error stating that using all differing sources of information means dealing with all the different avenues for rater error that may seep into the evaluation.

### **2.8.10 Assessment Centres**

Rothwell & Kazanas (1994:101) suggest that assessment centres are not strictly used in collecting information to identify instructional needs. An assessment centre is a standardised form of employee appraisal that relies on multiple types of evaluation and multiple raters. Individuals are interviewed, tested, and asked to participate in various individual or group exercises. The exercises are based on the activities of a job as identified through job analysis. Performance is assessed by trained evaluators, who are also seasoned managers. The independent assessments of these evaluators are then compiled and fed back to individuals who use them to plan training and education. Theoretically, an assessment centre could be used to assess the skills of a work group and thus help identify employee development needs. In the same vein, an assessment centre could be used to assess the skills of customers using the products, and thereby identify non-employee development needs. They have also been used in assessing individual training needs.

Swanepoel (1998:422) adds that despite its potential advantages, the assessment centre has fundamental shortcomings as a practical performance appraisal technique for all levels of employees. Such limitations emanate from the inherently costly nature of the procedure, its overwhelming emphasis on managerial jobs and its exclusive future orientation.

## **2.9. Who Should Do the Rating?**

Hedge and Borman (1995:453) suggest that ideally ratings can provide scores that are free from contamination and deficiency - that is, perfectly relevant. This is because, firstly, as long as performance requirements for a job can be articulated and defined, rating scales can be developed to reflect those performance requirements. Secondly, the rater or raters using these dimensions to make evaluations can, again ideally, average performance levels observed over time and in different job situations arrive at a rating on each dimension.

This assessment of ratings reflects the potential the method has for yielding accurate performance scores. Unfortunately, rater errors, biases, and other inaccuracies detract from the scores validity. Still, it is safe to assume that performance ratings will continue to retain their predominance, if for no other reason than ease of acquisition and cost, as has always been the case. Because of the dramatic changes affecting the workplace, problems of relying on one source of appraisal alone have lead to the acceptance of multiple sources of performance ratings. Hedge and Borman (1995:454-459) distinguish between supervisory ratings, peer ratings, self-ratings, subordinate ratings, customer appraisals and electronic performance monitoring.

### **2.9.1 The Immediate Supervisor**

According to Cascio (1995:290), if an appraisal is done at all, it will probably be done by this person. She or he is probably most familiar with the individual's performance and, in most jobs, has had the best opportunity to observe actual job performance. Furthermore, the immediate supervisor is probably best able to relate the individual's performance to departmental and organisational objectives. Since she or he also is responsible for reward decisions, it is not surprising that feedback from supervisors is more highly related to performance than

that from any other source. Latham and Wexley (1994:113) warn that this form of appraisal is usually heavily contaminated by bias and hence has low reliability and validity.

### **2.9.2 Peer Evaluations**

In certain jobs, such as outside sales, law enforcement, and teaching, the immediate supervisor may only rarely observe a subordinate's actual job performance (and indirectly, through written reports). Sometimes objective indicators, such as number of units sold, can provide useful performance-related information, but in other circumstances the judgement of peers is even better. Peers can provide a perspective on performance that is different from that of immediate supervisors. However, to reduce potential friendship bias while simultaneously increasing the feedback value of the information provided, it is important to specify exactly what the peers are to evaluate - for example, "the quality of her help on technical problems" (Cascio 1995:290).

Another approach is to require input from a number of colleagues or a panel of peers. Even when done well, however, peer assessments are probably best considered as only part of a performance appraisal system that includes input from all sources that have unique information or perspectives to offer concerning the job performance of an individual or a work group (Cascio 1995: 290 – 291).

Cardy and Dobbins (1991:157) argue that peers may be more sensitive to the system factors that impinge on performance and to the manner in which the ratee is able to respond to such system factors.

### **2.9.3 Subordinate Appraisals /Upward Evaluations**

Appraisal by subordinates can be a useful input to the immediate supervisor's development. Subordinates know firsthand the extent to which the supervisor actually delegates, how well he or she

communicates, the type of leadership style he or she is most comfortable with, and the extent to which he or she plans and organises. Appraisals by subordinates are used regularly by some large firms where managers have many subordinates. In the small firm or in situations where managers have few subordinates, however, it is easy to identify who said what. Thus considerable trust and openness are necessary before subordinate appraisals can pay off. Like peer assessments, they provide only one piece of the appraisal puzzle (Cascio 1995:291).

Cardy and Dobbins (1991:159) believe that one of the reasons for the reluctance to use this method of appraisal is managers fundamental believe that they are their subordinates. Hence, they view subordinate appraisals as an affront to their inherent rights as a supervisor.

#### **2.9.4 Self Appraisals**

Cascio (1995:221) proposes that there are several arguments to recommend wider use of self-appraisals. The opportunity to participate in the performance appraisal process, particularly if appraisal is combined with goal setting, improves the ratee's motivation and reduces her or his defensiveness during the appraisal interview. On the other hand, self-appraisal tend to be more lenient, less variable, and more biased and to show less agreement with the judgements of others. Since employees tend to give themselves higher marks than their supervisors do, self-appraisals are probably more appropriate for counselling and development than for employment decisions.

Cardy and Dobbins (1994:149) add that self-raters are often more familiar with their own performance than are supervisors, but are prone to rater- errors. They however believe that self-ratings will receive more examination in the future.

### **2.9.5 Customer / Client Evaluations**

Carrell *et al* (1997:290) state that as an increasing number of jobs are now considered service jobs, so evaluations by customers and clients are becoming more valuable as a part of multiple-rater PA process. According to Cardy and Dobbins (1994:162), one of the major criticisms of appraisal systems is that they change employee's attention from the customer who consumes their service or work products to their supervisor. Top-down appraisals run the risk of promoting employees to perform only those behaviours that are attended to by their supervisors. Other behaviours that are critical for customer satisfaction may be ignored. For this reason asking for evaluations from customers or clients provides one way to ensure that employees do not focus exclusively on trying to please their supervisor.

Grobler *et al* (2002:293) note that specialised customer questionnaires, telephone follow-up surveys and other techniques are used in addition to comment cards to try to get the customer's evaluation of the employee's performance. However, it would be difficult or impossible for customers and clients to give a total PA because they generally view only part of the employee's performance. For this reason, supervisors are generally still responsible for the overall PA, of which customer input becomes a part.

### **2.9.6 Computers/ Electronic Performance Monitoring**

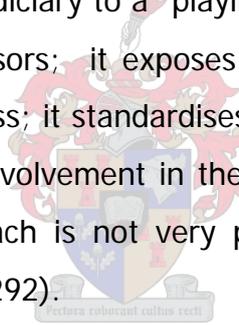
Employees spend large amounts of time unsupervised by their supervisors. Now technology has made continuous supervision possible and very real for millions of workers. Technology has provided for computer software that monitors employee performance (Cascio 1995:221).

### **2.9.7 Team Portfolio Appraisals**

Grobler *et al.* (2002:295) suggest that closely related to peer review is the multiple-rater approach of having a team appraise the performance of individual team members.

Not only do team members evaluate other team member's performances but they also interview prospective team members and management consultants. Their partnership approach to PA's includes self-appraisals and ratings from all team members. A PA committee develops an extensive document outlining the job description and requirements, and this document sets the group's expectations for individual behaviour.

Some of the advantages of using a multiple-rater approach are as follows: it reduces the judiciary to a "playing God" role and improves the coaching role for supervisors; it exposes some of the rater's errors; it ensures procedural fairness; it standardises the assessment method; and it increases employees' involvement in their own performances and job. Unfortunately this approach is not very prevalent at present in South Africa (Carrell *et al* 1997:292).



### **2.10. Common Rater Errors**

Performance appraisal requires the supervisor to observe and judge behaviour as objectively as possible. Since man conducts both these processes, the appraisal process is necessarily prone to distortions and biases, which confound any attempts at total objectivity (Swanepoel 1998:410).

Carrell *et al* (1997:265) suggests that raters should not only note the following rater errors but should be aware that employees use political tactics to capitalise on and create such errors as the halo effect.

Various authors see Swanepoel (1998:410-411), Cascio (1995: 296-297) and Beach (1985:217) provide explanations of rater's errors, and Grobler *et al* (2002: 291-292) provide an up to date, concise discussion of rater errors.

**2.10.1 Supervisory Bias:** The most common error that exists in any appraisal method is conscious or unconscious supervisory bias. Such biases are not related to job performance and may stem from personal characteristics such as age, sex, disability or race or from organisation-related characteristics such as seniority, membership of an organisation's athletic team or friendship with top administrators (Grobler *et al* 2002:291).

**2.10.2 Halo Effect:** DeNisi (1996:126) states that the halo error has been defined as a rater's attending to global impressions of performance, while ignoring differences in performance levels across specific aspects of the job, as well as an unwillingness on the part of the raters to distinguish among different levels of performance exhibited by ratee. When a rater lets one particular aspect of an employee's performance influence the evaluation of other aspects of performance, a halo effect has occurred. The halo effect may be positive or negative. A negative halo is also known as the "devils horns". The halo problem can be minimised by supervisory training. Supervisors should be trained to recognise that all jobs - even routine, low-level jobs - require the application of many different skills and behaviours. Training should also focus on the fact that it is not unusual for employees to perform well in some areas and less effective in others, and that coaching and training should concentrate on these areas in need of improvement (Carrell *et al*/1997:265).

**2.10.3 Central Tendency:** Latham and Wexley (1994:141) mention that the central tendency error is committed by the appraiser who wants to play it safe and therefore consistently rates an employee on or close

to the midpoint of an appraisal scale when the employee's performance clearly warrants a substantially higher or lower rating. The problem of central tendency also occurs when supervisors cannot evaluate employee performance objectively because of a lack of familiarity with the work, lack of supervisory ability or fear that they will be reprimanded if they evaluate individuals too highly or too strictly .

**2.10.4 Leniency:** Smither (1998:415) mentions that the leniency error is the tendency to give all employees good ratings. Inexperienced or poor supervisors may decide that the easy way to appraise performance is simply to give everyone a high evaluation. The supervisor may believe that employees will feel that they have been accurately appraise, or that even if they know they have been inaccurately appraised, it will be to their benefit. Employees will not complain about their appraisals if they all receive high appraisals. However, the best performers in the department will complain about such supervisors because those who are working hard receive no more credit than fellow employees who are not. This can lead to a turnover among the best employees who go to organisations that can appraise their performance accurately and give them the recognition they deserve (Carrell *et al*/1997:260).

**2.10.5 Strictness:** Schuler and Jackson (1996:375) states that sometimes supervisors give low ratings even though some employees may have achieved an average or above-average performance level. Strictness is the opposite extreme of leniency. The problem of strictness is not nearly as widespread as the problem of leniency. Supervisors are often guilty of strictness in ratings because they are unfamiliar with environmental constraints, have low self-esteem or feel that none of the subordinates is living up to standards of excellence. Latham and Wexley (1994:142) refer to strictness as a type of negative leniency.

**2.10.6 Recency:** When organisations use annual or semi-annual PA's,

there may be a tendency for supervisors to remember more about what their employees have done just before the appraisal than in prior months. It is human nature for supervisors to remember recent events more clearly than events in the distant past. Schuler and Jackson (1996:375) refer to this error as the primacy bias. To avoid the recency error, raters should conduct frequent appraisals - e.g. monthly or quarterly - and/or keep a running log of critical incidents of the employee's behaviours and outcomes (Grobler *et al* 2002:292).

**2.10.7 Overall Ratings:** Carrell *et al* (1997:266) states that many appraisal forms require the supervisor to provide an overall rating of an employee's performance in addition to evaluations of specific performance areas. Often compensation decisions - e.g. the amount of pay increases or bonuses - are determined by the employee's overall rating. Often the supervisor must rate the employee as "outstanding", "definitely above average", "doing an average job", "substandard but not making progress", or "definitely unsatisfactory". It is difficult for a rater to combine all the separate performance dimensions into one accurate overall rating. Behavioural research indicates that raters are not consistent in this process.

Grobler *et al* (2002:293) provide the following solutions to appraisal problems, which focus on two areas: the appraisal system and rater training. Appraisal systems should be based on a job analysis that specifies the content of the job. Specific performance criteria for each content area can then be developed. An employee's job performance is then measured against these criteria. Effectively training the persons, usually supervisors, who perform the appraisal can minimise appraisal problems such as leniency, the halo effect and recency. Carrell *et al* (1997:267) agree with these solutions.

## **2.11. The Appraisal Interview**

One of the final and most important steps of the PA process is discussing the appraisal with the employee. According to Wynne (1995:77) conducting an appraisal is often described as an interview, while in fact it should really be seen much more as a meeting, a somewhat more informal and equal encounter than an interview. Thinking of it as a meeting suggests that the topics to be covered will be discussed and that both parties will be involved rather than it being a one-sided process.

DeCenzo and Robbins (1999:291-292) provide the following steps to be used in the appraisal interview:

- **Prepare for, and schedule, the appraisal in advance.** Before meeting with the employee, some preliminary activities should be performed. You should at a minimum review employee job descriptions and period goals that may have been set as well as performance data on employees you may have. Furthermore, you should schedule the appraisal well in advance to give employees the opportunity to prepare their data, too, for the meeting.

Celderblom (1987:134) adds, that the interview is sometimes more effective if the evaluative and developmental aspects are separated. This aspect allows the employee to feel evaluated fairly on past performance before the focus shifts to specific areas for improvement.

- **Create a supportive environment to put employees at ease.** Performance appraisals conjure up several emotions. As such, every effort should be made to make employees comfortable during the meeting, such that they are receptive to constructive feedback (De Cenzo and Robbins 1999:291).

Cadwell (1994:49) adds that a human touch attitude must be applied to ensure that the entire focus is on the employee and the employee's performance.

- **Describe the purpose of the appraisal to employees.** Make sure employees know precisely what the appraisal is to be used for. Will it have implications for pay increases, or other personnel decisions? If so, make sure employees understand exactly how the appraisal process works, and its consequences. Cadwell (1994:51) adds that when the employee understands the purpose of the appraisal it is easier to have an effective discussion.
- **Involve the employee in the appraisal discussion, including a self-evaluation.** Performance appraisal should not be a one-way communication event. Although as supervisor, you may believe that you have to talk more in the meeting, that need not be the case. Instead, employees should have ample opportunity to discuss their performance, raise questions about the facts you raise, and add their own data/perceptions about their work. One means of ensuring that two-way communication occurs is to have employees conduct a self-evaluation. You should actively listen to their assessment. This involvement helps to create an environment of participation. Wexley and Yukl (1984:370) agree.
- **Focus discussions on work behaviours, not on employees.** One way of creating emotional difficulties is to attack the employee. One should keep your discussion on the behaviours you've observed. Telling an employee that the report is inadequate is meaningless. That does not focus on behaviour. Instead, indicating that you believe that not enough time was devoted to proof reading the report describes the behaviour you may be having a problem with. Schuler (1984:271) believes that the focus on observed behaviour is best method of

avoiding negative or defensive behaviour of subordinates towards appraisal.

- **Support your evaluation with specific examples.** Specific performance behaviour helps clarify to employees the issues you raise. Rather than saying something was not good you should be as specific as possible in your explanations. So, for the employee who failed to proof read the work, describing that the report had five grammatical mistakes in the first two pages alone would be a specific example. Werther and Davis (1996:368) agree, and state that criticism should be specific, not general and vague.
- **Give both positive and negative feedback.** Performance appraisals need not be all negative. Although there is a perception that this process focuses on the negative, it should also be used to compliment and recognise good work. Positive, as well as negative, feedback helps employees to gain a better understanding of their performance. Wynne (1995:79-80) agrees and provides a number of guidelines to assist in giving positive and negative feedback.
- **Ensure employees understand what was discussed in the appraisal.** At the end of the appraisal, especially where some improvement is warranted, you should ask employees to summarise what was discussed in the meeting. This would help you to ensure that you have got your information through to the employee. Wynne (1995:81) agrees with the idea of summarising.
- **Generate a development plan.** Most of the performance appraisal revolves around feedback and documentation. But another component is needed. Where developments efforts are encouraged, a plan should be developed to describe what would be done, by when, and what

you, the supervisor, would commit to aid in the improvement /enhancement effort. (DeCenzo and Robbins 1999:292).

## **2.12. Problems with the Appraisal Interview**

In his 1957 article " An Uneasy Look at Performance Appraisal", behavioural scientist Douglas McGregor psychological variables that are important to address (Howard Business review 1972:6).

**2.12.1 Playing "God":** Douglas McGregor pointed out that many managers who view the appraisal as playing "God" are uncomfortable in simultaneously playing helper and judge. The solution to this fear may be found in system and psychological modification. McGregor proposed a new attitude where the manager and employee are equals in the appraisal meeting to eliminate the parent/child relationship (Harvard Business Review 1972:6-10).

**2.12.2 Inability to Give Criticism:** Many supervisors have difficulty giving criticism constructively, and many employees have difficulty accepting criticism, even though it may be given with sensitivity and diplomacy. One important study showed that defensiveness and poor performance could result from criticism given during the appraisal interview. Further, about half of all employees become defensive when criticised, and a majority of employees feel they performed more favourably than their supervisor's assessments indicate (Harvard Business Review 1972:6-10).

**2.12.3 Personality Biases:** During the appraisal interview, the focus should be on performance and achievement of the goals and objectives, duties and responsibilities that constitute the employee's job. Some supervisors assume the role of amateur psychologist and attempt to

bring about personality changes that may improve job performance. But such an approach is unwise, according to McGregor.

**2.12.4 Inability to Give Effective Feedback:** For the appraisal interview to be a truly developmental process the employee must receive some specific feedback on areas in need of improvement. All too often, supervisors cloak criticism in vague, subjective terms and phrases. Supervisors need to be specific and should not hesitate to provide feedback on specific areas that need improvement.

### **2.13. Conclusion**

Performance appraisal is the systematic description of the job-relevant strengths and weaknesses of an individual. It serves two major purposes in organisations: (1) improving the job performance of employees and (2) providing information to employees and managers for use in making decisions.

The effective management of an individual's performance is central to the attainment of organisational goals. If managers are to achieve strategic objectives, accurate information regarding the performance levels of their team members is essential. This is the reason why most organisations insist on a formal and systematic process whereby such information may be gathered and recorded.

Despite its importance, the effectiveness of appraisal systems has been plagued by a variety of problems related to technical as well as human obstacles. Remedies have however been supplied for these obstacles. With this in mind it must be emphasised that performance appraisal is a vital component in the achieving of employee and organisational goals and will remain a key concern for managers. The following chapter will focus on the background of the SAPS and the evolution of PA in the SAPS.

## CHAPTER 3

### Historical Background of the South Africa Police Service: The Transition from a Force to a Service

#### 3.1. Introduction

The transformation of the South African Police (SAP) to the SAPS in the 1990's not only emphasised the shortcomings of the traditional policing approach employed by the former policing agencies, but it also created enormous organisational challenges for the new SAPS.

According to Carstens (1998:1), traditional management in the former SAP policing agencies was provided by the "mother" agency (SAP), to ensure that the prevailing management approaches were kept intact. This management approach was characterised as very militaristic, bureaucratic, authoritarian and non-participatory. This stifled individual growth and organisational growth and learning which eventually filtered down to the local communities who bore the brunt of this dysfunction. This fact required the SAPS to make a complete transformation through a new approach in order to change the image and position of the SAPS in the community.

This chapter reviews the evolution of the SAP to the SAPS. The chapter starts with a discussion of the background of the SAPS. The second topic of discussion looks at the managerial and administrative transformation within the SAPS. The third discussion point is the evolution of the performance appraisal process within the SAPS. This discussion starts with a review of the SAP 135 appraisal system, which is followed by the SAP 453 system of appraisal. This section is concluded with an in depth look at the Performance Enhancement Process (PEP) which was recently implemented. More emphasis is placed on the PEP as it forms the focus of this research, which concludes the chapter.

### **3.2. Background of the South African Police Service**

Although influenced by the British system are formed on the principles of organised policing founded by Sir Robert Peel in 1829, the SAP developed a distinctive character of its own due to various historical influences (Fox, van Wyk & Fourie 1998:157-165). According to Anesty & Stainley (1997:1) the SAP was founded in 1913 following the amalgamation of various urban and rural forces operating in the country in a pre-Union political context. The SAP developed a strong paramilitary character from its inception but particularly in the apartheid years when its focus of activities was shaped by the need of a minority government to enforce a system of racial authoritarianism.

According to Auten (1985:123) the term paramilitary has several definitions:

- Organised military but not part of or in co-operation with the official armed forces of a country, having to do with a military force so organised in its tactics.
- Existing where there are no military services or existing alongside the military services and professionally non-military but formed on an underlying military pattern as a potential auxiliary or diversionary military organisation.

Reynecke (1995:27-30) uses Autens' definition of paramilitary and suggests that the SAP was structured along paramilitary lines and exhibited the following characteristics:

- A centralised command structure existed with a rigidly adhered to chain of command. Subordinates followed the channel of the hierarchy to communicate their ideas or to complain.

- Rigid superior-subordinate relationship defined by prerogatives of rank exists. Subordinates adhered to the higher rank despite the fact that they may have better ideas. This resulted in initiative being taken away from subordinates. The higher rank was always obeyed and it is taken for granted that a person in a higher rank is always right.
- Control was exerted through the issuing of commands, directives or general orders. Discretion and initiatives were inhibited by all the rules and regulations. Subordinates must obey commands and are charged departmentally if they do not obey orders. During training, trainees were commanded as to what to do, how to do it and when. When starting their careers they had to make decisions regarding life and death and were then expected to use their discretion, which they never had the opportunity to use while undergoing training.
- Clearly delineated line of communication and authority existed. The higher rank has authority over the lower, despite the fact that the lower ranks did not work under the direct supervision of the higher rank. Personnel with lower ranks had to communicate to their superiors through senior ranks.
- The communication process was primarily vertical from top to bottom. Commands and orders are given from the top without consulting with the lower ranks. Participative management was nonexistent. There was no information or ideas coming from the lower ranks. Initiatives were inhibited.
- Employees were encouraged to work primarily through threats or coercion. Subordinated had to obey commands or be charged. Training was based on coercion and threats with the effect that

individuals were not exceed. Questioning of instructions was not allowed.

- Initiative at the supervisory and opescaleal levels were neither sought nor encouraged nor expected. Because the supervisor was usually of a higher rank, his decisions could never be questioned. It was believed that subordinates could not come up with any good ideas. If subordinates showed any initiative it was seen as a threat to the supervisor and was therefore discarded.
- Emphasis was placed on the maintenance of the status quo. It was supposedly better to do things the way people used to rather than trying new and different ideas. Things had been done in a certain way during the past and it was "correct", so why change it?
- A highly structured system of sanctions and discipline procedures were adhered to deal with nonconformists within the organisation. This was evident especially during training; those who did not conform to the group norm were punished. Individuals were disciplined for petty offences, for example going on duty with unpolished shoes or hair too long to the liking of a commander, which sometimes resulted in promotions being withheld.
- Usually a highly centralised system of opescales existed. The commander always needed to be in command and controlled all activities. Nobody was allowed to take action without the consent of the commander or superior.
- Strict adherence to guidelines in the form of commands, directives, general orders, operational policy and procedure were demanded. This refers to the bureaucratic nature of the police in the past. No discretion was allowed and everything had to be done by the book.

In reality however, situations arise where rules are not practical to follow and discretion is needed to make decisions.

- Lack of flexibility existed with commanders when confronted with problems or situations not covered by existing directives, general order, policy and procedure. No exceptions were made towards members and this tended to rub off on the behaviour of personnel during their encounters with the community. The rules were followed rigidly and the use of discretion was not allowed. The compliance with rules was more important than satisfying the customer.
- Promotional opportunities were reserved for members of the mother organisation only. People from the organisation, with few exceptions were not allowed to enter at any level.
- An impersonal relationship existed between the members of the organisation. This was the result of the rank structure whereby superiors and subordinates were not allowed to interact socially outside the place of work. This resulted in colleagues not knowing each other in order to build trust relationship and mutual understanding.
- There were feelings of demoralisation and powerlessness among members on the lower levels of the organisation. The fact that there was always somebody more superior to people in the lower ranks resulted in people misusing power when they eventually reached the higher ranks.
- The concept existed that the administration and top command was biased. Top command often made decisions based on the

superiority of their rank and not based on their knowledge of actual situations or personal skills. It was taken for granted that people in the higher ranks would automatically make the right decision. They made the rules and decided whether or not subordinates' conduct was in line with the rules.

- A growing level of cynicism among supervisory and operational level personnel developed towards top management. Members of lower ranks complained that "they" make the rules and "we" have to do the job, no matter what.

From the above points the SAP could be characterised as highly centralised with a clear lack of flexibility, a rigid control structure with communication following the top-down approach. Little or no use was made of participating management, with members being punished for nonconformity. The result was a "them and us" attitude between the lower and higher ranks and between the SAP and the community they served.

According to Anesty & Stanley (1997:1), policing from its inception in 1913 continued through disparate bodies. The SA Mounted Rifleman formed under the Defence Act, Act 13 of 1912 performed military duties and serviced rural areas before being absorbed by the SAP in 1926. The South African Railways Police was formed in 1916 and consisted of the Railway and Harbour Police, which was absorbed into the SAP in 1986. In 1984 at the height of the political struggle, municipalities were afforded the right to establish police forces ('kitskonstabels'), which were to provide auxiliary services to the SAP, and were charged with the responsibility of guarding black councillors, as well as municipal installations and government buildings. After the political transformation of 1994, they were absorbed into the SAP. The SA Police Service History in Brief (2003:1) mentions that South Africa was divided into the so-called TBVC States (Transkei, Bophuthatswana, Venda and Ciskei), Self-Governing Territories and Development Regions of pre-1994 South

Africa. The TBVC states had independent status but were not widely, or not at all recognised by the international community. The TBVC States and Self-Governing Territories were also referred to as homelands. These so-called homelands were the following:

- TBVC States: Transkei, Bophuthatswana, Venda and Ciskei.
- Self-Governing Territories: Gazankulu, Kangwane, Kwandebele, Kwazulu, Lebowa and Qwaqwa (SA Police Service History in Brief 2003:1).

Every homeland had its own policing agency, bringing the total number of policing agencies in the country to eleven (10 homelands plus the old South African Police). All eleven policing agencies had different uniforms, rank structures and conditions of service and were established under different pieces of legislation.

With the adoption of the Interim Constitution, Act 119 of 1993, the homelands and old development regions were abolished and integrated into a united South Africa with nine provinces. The new Constitution, Act 108 Section 207(1) of 1996 established a single National Police Service for South Africa under the executive command and control of a National Commissioner who is appointed by the President.

Fox *et al* (1998:166) mention that for eighty years, from its inception in 1913, the SAP played a central role in the upholding of apartheid. The police became a symbol of oppression for the greater part of the community. Anesty & Stainley (1997:1) add that the enforcement of an oppressive system effectively stripped the SAP of legitimacy, credibility and the trust of the majority of the nation's population. The police force assumed a military character reflected in its ranking system and any many of its activities. The threat was perceived as an internal one of ungovernability and the focus was on activities to respond to this with an increasingly powerful security branch

tasked with preserving the nation's internal security. Increasingly normal policing assumed a backstage role in an abnormal society in which normal social activities were criminalized – free movement of citizens, social and sexual relations, political organisation, etc.

On the topic of the military character of the police, Blumberg and Neiderhoffer (1985:124) suggest that the military legacy in the police also applies in America where the traditional model of police administration has been military and autocratic. They are deeply resistant to changing, thereby implying that the situation in South Africa was not entirely unique.

Fox, *et al* (1998:167) mentions that the eighties can be regarded as the era of the securocrats. Cawthra (1994:29) states that the securocrats got their way on 21 July 1985 when a State of Emergency was declared over large parts of the country. The State of Emergency was lifted in March 1986 and was re-imposed in June 1986 and only lifted formally in 1991. Anestry in (Anestry & Stainely 1997:1) states that apartheid laws saw the police become key players in a political system in which 15 000 people were charged under security legislation, 80 000 were detained without trial, 3 000 served banning or detention orders, 17 million were convicted of pass offences and 3,5 million were forcibly removed from their homes. Over 21 000 deaths resulted in the political tensions which accompanied transition to democracy.

Fox *et al* (1998:168) state that under former State President De Klerk's leadership, new reforms were introduced in the early 1990s that had a big impact on the police. Political organisations were unbanned and the influence of the securocrats waned systematically, which set the scene for a new dispensation. There was strong pressure, which was largely welcomed by the police, to withdraw from the political arena. Initiatives were launched to upgrade the police force and to improve professional standards. A high emphasis was also placed on community relations. However, the reforms did not have the desired effects at grass-roots level. The traditionalists in the

organisation were still very much in favour of a very tough law and order approach to policing, while unrest in townships supported their claims.

According to Anesty & Stainely (1997:1), South Africa's first democratically elected government then inherited a police force in 1994 which was fragmented, had a history of being used as a tool of political oppression to further and protect the interests of a minority in power, had a strong military character and was dominated by a security branch which had assumed enormous power through its central role in repression.

Anesty & Stainely (1997:2) state that the move to a Constitutional order demanded a fundamental revision of policing in the country including:

- A rationalisation and amalgamation of police to serve a unified nation;
- A shift in character from a police force to a police service accountable to a civilian government; and
- The genescale and delivery of services to combat crime in society rather than citizens themselves.

The principles for delivering to a new vision for policing in South Africa were captured by the then Minister for Safety and Security in a draft policy document (1994) and included intentions to shift:

- from a government force to a community oriented service;
- from a system operating beyond the law to one of civilian accountability under the Constitution and elected authority;
- from a political to a crime fighting orientation;
- from a top heavy hierarchical organisation to one of devolved decision making with a frontline delivery focus; and
- From inequity to fair and effective utilisation of resources.

Anesty & Stainely (1997:2) state that the transformation endeavour demanded revisions in the nature and delivery of services; the development of professional vs. political policing; the redress of past inequities in service

delivery and internal resource management, as well as the nature of civilian and political accountability. As part of this transformation, a focus on community policing was emphasised.

On 29 January 1995, General George Fivaz was appointed by President Nelson Mandela as the first National Commissioner of the new SAPS. George Fivaz had the responsibility to firstly and foremostly amalgamate the 11 policing agencies into a single united SAPS, and secondly to align the new police service to the new legislation and the process of transformation in South Africa (SA Police Service History in Brief 2003:1).

In his inauguration speech on 29 January 1995, Commissioner Fivaz identified various crucial policing agendas:

- The SAPS must, in conjunction with all role players, develop improved methods to curb crime and to improve the level of safety and security in South Africa.
- The legitimacy and acceptability of the SAPS must be addressed and the SAPS must make a clean and definite break with the past.
- The improvement of police/community relations is of vital importance, as is the removal of all forms of racism and other discrimination, including that based on gender.
- The amalgamation and scalealisation of the existing eleven police agencies into an integrated SAPS.
- The transformation of the former police forces which includes the adoption of a new mindset.
- The discipline and morale of the SAPS must be restored and improved at all costs.
- The establishment of a culture of fundamental human rights within the SAPS is essential.

Through this inaugural speech Commissioner Fivaz identified the path needed for the SAPS to gain legitimacy as a service to all the people of South

Africa and usher in a new era of community participation in policing in South Africa.

According to the SA Police Community Relations Division (Reynecke, 1995:32), Community Policing, as an international policing trend, has developed in response to the realities of change, which are confronting police services throughout the world. One could say that Community Policing is a strategy of renewal to position the police in a changing environment so that it is able to effectively deal with the challenges of the future.

Reynecke (1995:32) states that Community Policing, can be viewed as a comprehensive framework for the adaptation and transformation of police organisations. Community Policing is a relatively new philosophy and style of policing which accepts that the police can only effectively solve problems related to crime, fear of crime, social and physical disorder, poor police-community relations, bad service, and neighbourhood decay, if they work in partnership with citizens and other providers of service.

According to Fox *et al* (1998:169), a Change Management Team (CMT) was introduced at SAPS headquarters to monitor and evaluate the change process. A transformation document issued in February 1996 (South African Police Service 1996) sees Community Policing as central to the transformation process:

There is a general consensus among most people, institutions, and organisations in South Africa that Community Policing should be adopted as the style of policing. True institutionalisation of community entails, in addition to community involvement and participation, the total alignment of the police organisation to support the philosophy and principles of Community Policing. It entails *inter alia*:

- The development of a shared vision, mission and values.
- The development of a new organisational structure that facilitates

managerial autonomy and empowerment at the lowest level.

- The establishment of management styles that are based on teamwork, participation and problem-solving.
- The development of new policies and practices to support quality service and philosophy and style of Community Policing.
- The development of new cultures that accommodate new principles such as accountability, participation and transparency to replace existing cultures of militarism and internal orientation (closed system).

Externally the community needs to be made aware of the role of the police and the role that they, as the community, can and should play. The culture of non-involvement is to be replaced with a culture of involvement. The police should facilitate this through creating trust by delivering quality, professional service and facilitating participation.

Fox *et al* (1998:172) conclude by stating that Community Policing was an evolving concept and the philosophy is still relatively new to a whole generation of police officers. This section dealt with the history of policing in South Africa and the transformation from a force to a service. The following section will discuss the evolution of the managerial and administrative philosophy of the SAPS with regard to PA.

### **3.3. Managerial and Administrative Philosophy of the South African Police Service**

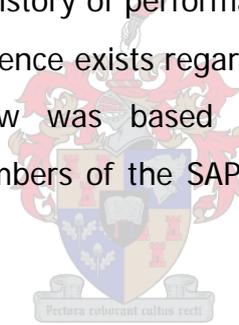
It is the opinion of the researcher that different managerial philosophies can be distinguished between the SAP and SAPS. In the SAP the managerial and administrative philosophy is reflected by a primary organisational culture contained in Douglas McGregor's Theory X and Theory Y that depicts humans as inherently disliking work. McGregor propagates that people need to be controlled, directed and threatened with punishment to put in an effort to

achieve objectives and the average human being prefers to be directed, wishes to avoid responsibility and has no ambition (Auten, 1985:124).

The SAPS function in a macro-environment over which they have little control and influence. Globalisation, politics, economics, social and cultural norms, technology, demographics and legislation all impact on policing at a macro level. Although police managers have a role to play, their influence on this macro-environment is minimal. However, they need to know and understand how it functions and how it impacts on effective management. (Reynecke & Fourie 2001:14).

### **3.4. The Evolution of Performance Appraisals within the SAPS**

This section provides a brief history of performance appraisal within the SAPS. Although no documented evidence exists regarding the SAP 135 and SAP 453, the information listed below was based on personal experience and discussions at large with members of the SAPS. The first formalised method of appraisal in the SAPS was:



**3.4.1 SAP 135:** The SAP 135 was a performance appraisal method conducted by supervisors. This method of appraisal occurred:

1. When an incident occurred (good or bad); or
2. Alternatively if no incident occurred on a monthly basis.

This form of appraisal was done in writing and then filed in the member's personal file. Incidents reported, as stated earlier, could be as a result of exceptional service (good) e.g. an excellent arrest, or as a result of minor misbehaviour e.g. reporting late for duty. If no incidents occurred during a period of one month, it was the responsibility of the employee's immediate supervisor to make an entry on the SAP 135 of the individual member. This entry would be regarding the general perceptions that the supervisor had made of individual members. These include employee

behaviour, work standards, level of discipline and effects on the functioning of the group. Members appraised had no means of objecting to the evaluation, besides submitting a report to the supervisor's immediate superior, and were compelled to sign the SAP 135 entry thereby acknowledging the entry. The SAP 135 was directly linked with the then existent promotional policy. Negative SAP 135 entries had a definite negative effect on the promotional prospects of members. This form of appraisal was prone to all rater errors and in particular that of supervisory bias. Members who voiced unwanted opinions were often disadvantaged by this system of appraisal. In addition to a mechanism to appropriate performance, this system was also used to discipline members. The SAP 135 system eventually made way for the SAP 492 system of appraisal which allowed a degree of employee participation in appraisal; no precise date is available of when the change occurred.

**3.4.2 SAP 453:** This system was initially used to assess performance of administrative clerks within the SAPS. This method of appraisal was more specific than the SAP 135 and was completed by the member who was then evaluated on the performance by his/her supervisor. The evaluation was done according to a 1-5 Likert-type scale with 1 representing "unsatisfactory" and 5 representing "excellent". As stated above, this method was more specific than the SAP 135 as members had to identify specific incidents of exceptional behaviour themselves. In addition, members had to identify a specific characteristic, e.g. managerial skills, and a specific element of that characteristic, e.g. leadership ability. The member then had to, by means of a short paragraph or two, identify an incident describing such characteristics. This incident had to be specific, if a member had supporting documentation e.g. a letter of appreciation, etc; this would have a positive effect on the member's rating done by the supervisor. This process occurred on a preset form, the member would complete the front section, while being evaluated by the supervisor on the back of the form. An additional advantage of this system was that it

provided space for supervisor's comments. Due to its distinctive advantages over the SAP 135 system, the SAP 453 system was introduced to all functional members of the SAPS. However, as with the SAP 135 system, the member had, with the SAP 453 system, no means of objecting to the evaluation or, as in the case with the SAP 453, the mark allocated to a specific incident. The same procedure applied to the SAP 453 system, as did the SAP 135 system. The SAP 453 system was directly linked to the then existing promotional policy. Negative SAP 453 ratings would have an effect on the promotion prospects of members. This system of appraisal was not prone to the same degree of rating scales as with the SAP 135. However, from this system evolved an aspect of unethical behaviour. Members would fabricate incidents among themselves or receive letters of appreciation for outstanding services, which they would orchestrate from friends and distant family. This aspect had a definite damning effect on the system, as supervisors could not verify each letter of appreciation received by each member due to practicalities. This system of appraisal was later discontinued due to the monatorium on promotions and the administrative burden it placed on supervisors, as it was only used for promotional purposes. The Performance Enhancement Process (PEP) replaced this system; no precise date is available of when the change occurred.

### **3.5. Performance Enhancement Process (PEP)**

According to the PEP User Guide (2002:2), PEP is an integrated process that defines, assesses, reinforces and promotes the best job-related behaviours, outcomes and expected deliverables.

The PEP User Guide (2002:2) states that this means that PEP attempts to ensure that everyone in the organisation is working smarter to achieve better results and to help the organisation achieve its objectives. For this to happen, each employee must have a clearly defined job with specific

objectives. This facilitates the measurement of individual performance. It is critical to make sure that, in the process, everyone's performance is judged fairly and honestly and that each employee is encouraged to improve his or her performance.

PEP is fundamentally a development tool. One of the main aims of introducing PEP for Non Commissioners Officers job levels 1 to 6 NCOs and 7 to 12 Commissioned Officers is to ensure that employees at these job levels are given the opportunity to develop their job skills and knowledge, so that they can perform better. The end result should be improved service delivery throughout SAPS (PEP User Guide 2002:2).

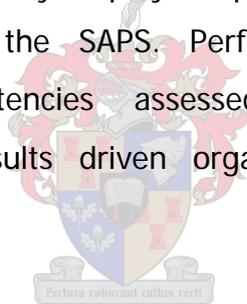
In order to do this, the Strategic Objectives of SAPS must be cascaded right down the organisation. This is achieved by ensuring that each employee has clearly defined and well understood Key Performance Areas and that these are in line with the strategic objectives of the SAPS. The Key Performance Areas of employees are also referred to as KPAs. At the lower levels the KPAs tend to refer to specific tasks such as "maintaining the filing system" or "keeping the offices clean and tidy." At the higher job levels, KPAs might refer to aspects like "helping to reduce the incidence of crime" or "helping to increase the number of convictions". At these levels, each KPA can be broken down into a series of tasks, which have to be performed in order to achieve the KPA (PEP User Guide 2002:2). With this background of PEP in mind we can now look at the objectives and the context of PEP.

### **3.5.1 The Main Objectives of Developing PEP are to ensure that:**

- The PEP User Guide (2002:4) mentions that every employee's performance is aligned to the strategic objectives of SAPS. It is therefore imperative that the Key Performance Areas in the performance agreements of managers are effectively cascaded down to the next level of supervision;
- Every employee knows exactly what is expected of her or him;

- A performance culture is inculcated and maintained throughout the SAPS;
- A trust relationship is developed between supervisors and subordinates;
- Performance is measured and competencies assessed regularly and objectively;
- The institutional culture is transformed from rules-bound to results-driven;
- Management is provided with a useful and effective development tool;
- Effective HR management is sustained; and
- Service delivery is improved.

According to the objectives of PEP, PEP is a developmental tool through which KPAs ensure that every employee's performance is aligned with the strategic objectives of the SAPS. Performance of employee's are measured and competencies assessed regularly to ensure a transformation to a results driven organisation to improve service delivery.



### **3.5.2 The Context of PEP**

According to the PEP User Guide (2002:5), to facilitate the fundamental transformation from a rules-bound police force to, a results-driven police service, where the emphasis is on service delivery, new laws, regulations and policies were introduced by the South African government. This body of legislation forms what is referred to as the Regulatory Framework because it regulates the transformation process.

The most important elements of the Regulatory Framework are:

- The Constitution Act 108 of 1996;
- The SAPS Act, Act 68 of 1995;
- The SAPS Amendment Act, Act 83 of 1999;

- The White Paper on the Transformation of the Public Service, no 16414 of 1995; and
- The White Paper on Transforming Service Delivery in the Public Service, no 18340 of 1997.

In order to help implement these new laws, regulations and policies, SAPS has introduced a New Management Framework. This framework provides guidelines for the implementation of management processes within the SAPS that will encourage transformation and promote improved service delivery. PEP is one of the main pillars of the new SAPS management framework.

There are two parts to the assessment of a supervised employee's performance, namely:

- The assessment of work output or performance, based on the specific requirements of his or her job; and
- The assessment of development needs, based on evidence of performance. This is achieved by assessing the individual's ability in certain competencies. (Poor performance will usually mean that the individual lacks certain competencies.)

During the first part, namely assessing the specific results achieved by the particular supervised employee, his or her delivery against the agreed KPAs is assessed. A five point rating scale is used to score the performance.

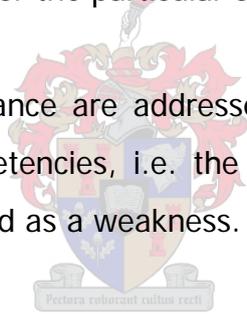
According to the PEP User Guide (2002:6), specific outcomes are measured against agreed standards during this exercise, it is an objective process. It should not be difficult for the supervised employee and her or his supervisor to reach consensus on the scores to be allocated for each outcome.

Once the individual's work performance has been assessed, it is necessary to assess the competencies that are necessary to do the job. Competencies are a person's job knowledge, job skills, attributes or attitude on the job, his or her leadership potential and ability to get results.

The PEP User Guide (2002:7) states that assessing competencies differs from assessing performance, because they are much more subjective. However, competencies are the key to performance and improved competencies will result in improved performance.

The competency assessment exercise gives a clear insight into the individual's strengths and weaknesses and this can be used to devise a useful development plan for the particular supervised employee.

Shortcomings in performance are addressed by building the individual's capacity in certain competencies, i.e. the individual receives training in the specific areas identified as a weakness.



### **3.5.3 The Performance Cycle.**

The PEP User Guide (2002:15) states that the *Performance Cycle* in SAPS has the following steps:

1. Planning – during April
2. Feedback and Review – during July
3. Evaluation and Assessment – during September
4. Feedback and Review – during December
5. Evaluation and Assessment – during March

### **3.5.4 Planning**

During April of each year, supervised employees must meet with their supervisors to plan their performance or work output for the coming 12 months. Each supervised employee must compile and agree on a

*Performance Plan* with his or her supervisor. These *Performance Plans* must stipulate the supervised employee's KPAs, broken down into tasks. The outcome of each KPA must also be included in the plan and clear standards must be agreed for each KPA (PEP User Guide 2002:15).

### **3.5.5 Feedback and Review**

This step or phase of the Performance Cycle requires the supervisor to meet with the supervised employee to discuss the supervised employee's performance. This review is not done in writing, but rather it involves oral feedback from the supervisor and a discussion on the level of the supervised employee's performance, with emphasis on what has been done well and what needs to be improved. The comments by both parties are minuted in Section C of the Performance Appraisal Instrument. The feedback and review session must refer to the supervised employee's Performance Plan. Feedback must always be constructive (PEP User Guide 2002:15).

### **3.5.6 Evaluation and Assessment**

This step involves a formal meeting between supervisor and supervised employee to evaluate and assess the supervised employee's performance, using the approved Performance Appraisal Instrument. (PEP User Guide 2002:16).

According to the PEP User Guide (2002:16), the Performance Appraisal Instrument is a form carefully designed to ensure that it meets all the needs of the supervised employee and of SAPS, in the process of improving performance and service delivery. Performance Appraisal is the evaluation or assessment part of PEP.

It involves the systematic and objective evaluation of a supervised employee's work by his or her supervisor. It must be based on the inherent requirements of the job, namely, the tasks and responsibilities

the supervised employee has to perform and accept, as well as his or her proficiency in certain competencies.

According to the PEP User Guide (2002:17) the appraisal instrument is the basis for the performance appraisal interview between supervisor and supervised employee. It is advisable that each party considers the instrument carefully before the appraisal interview and allocates a *provisional* rating to the various elements. They should have available such evidence as may be needed to support their respective ratings, e.g. the Performance Plan, reports on completed tasks, memos to remind the subordinate to complete a specific task by a certain date, etc.

The PEP User Guide (2002:17) notes that it is important that the supervised employee's performance be measured on how he or she actually performed during the review period and not on his or her perceived potential or what they might have done.

At the interview, ratings and scores are compared and a two-way discussion takes place between supervisor and supervised employee to arrive at consensus. This means they must attempt to agree on the performance assessment. If consensus cannot be reached, the reasons for the disagreement must be clearly stated to the satisfaction of both parties. (PEP User Guide 2002:18).

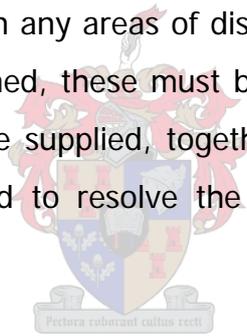
**The PEP rating scale** (PEP User Guide 2002:20);

<b>LEVEL OF ASSESSMENT</b>	<b>RATING</b>	<b>%</b>
Outstanding Performance - Exceptional	5	80% - 100%
Good Performance – Performance is noticeably better than the normal requirements of the job	4	65% - 79%
Satisfactory Performance – Performance at least meets all the normal requirements of the job	3	50% - 64%

and may even exceed them from time to time		
Below Average Performance – Performance not fully up to the normal requirements of the job – Candidate requires some development	2	35% - 49%
Poor Performance – Performance well below the normal requirements of the job – Candidate requires significant development or is not suited to the job.	1	0% - 34%

### 3.5.7 PEP Disagreement document

An aspect neglected by the SAP 135 and SAP 492 is addressed by PEP, namely disagreement with the appraisal. The PEP User Guide (2002:45) states that, if there have been any areas of disagreement or instances where consensus could not be reached, these must be duly recorded. Full reasons for the disagreement must be supplied, together with an indication of what steps are being contemplated to resolve the differences between the two parties.



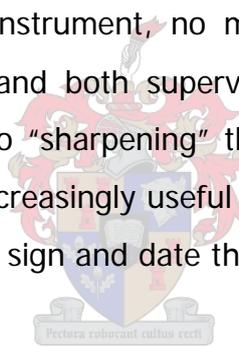
According to the PEP User Guide (2002:45) if the disagreement cannot be resolved, an independent third party within SAPS who is acceptable to both parties should be called in to facilitate conciliation. The third party can be the next level of supervision or a shop steward or other officer who is familiar with the working environment.

It must be pointed out that this is highly undesirable and runs contrary to the spirit of PEP. PEP is intended as a constructive exercise to improve job relations, job satisfaction and job performance. Thus, every effort must be made by both parties to arrive at consensus. The object is not to discipline anyone, but to develop staff and promote team spirit, loyalty and commitment (PEP User Guide 2002:45).

### **3.6 Concluding Remarks on the Appraisal Interview**

The PEP User Guide (2002:38) states that the supervisor must summarise what transpired during the performance appraisal as well as the competency assessment exercise. It is important to note the improved performance (if any) as well as the development of competencies. (Any shortcoming in performance or competencies still needing attention should be highlighted).

In the case of unsatisfactory performance, the supervisor must refer to and apply the process prescribed by the national instruction for “managing unsatisfactory performance”. The supervisor can give his or her impression of the interview, in broad terms, indicating whether it was successful and what could perhaps be done next time to improve the efficiency of the exercise. The Performance Appraisal Instrument, no matter how well designed, will inevitably be rather “blunt” and both supervisor and supervised employee should dedicate themselves to “sharpening” the instrument over time. This will ensure that it becomes increasingly useful to both parties. The supervisor and the supervised must both sign and date the outcome of this section. (PEP User Guide 2002:38).



### **3.7 Conclusion**

From the historic background of the SAPS, it was essential that the SAPS had to undergo a transformation process. This chapter discussed the background of the SAPS, the change from a force to a service and the change of the managerial and administrative philosophies that followed the change to a service. The evolution of PA of the SAPS is discussed with reference to the SAP 135 and SAP 453 and the change to PEP. The PEP policy is discussed, the objectives and context of PEP is provided. The next chapter, will focus on the analysis and interpretation of data gathered from the administering of PEP questionnaire.

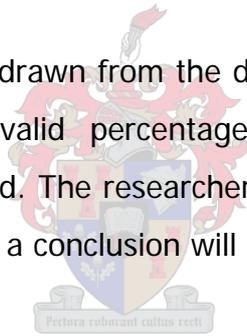
## CHAPTER 4

### Analysis and Interpretation of Research Findings

#### 4.1 Introduction

This chapter deals with the analysis and conclusions of the quantitative research undertaken in order to prove the problem statement discussed in Chapter 1. The questionnaire (see Annexure A) was administered to the personnel of SAPS Parow and deals with PEP and the PA system currently used by the SAPS, which was discussed in chapter 3. In total 64 questionnaires were returned to the researcher. The researcher utilised the Statistical Package for Social Sciences (SPSS) computer-aided statistical software in the analysis of the returned data.

The analysis and conclusions drawn from the data supplied from the returned questionnaires reflects the valid percentage per question posed. These questions will now be analysed. The researcher will attempt to prove the crux of the problem statement and a conclusion will follow from this.



#### 4.2 Analysis of Questionnaire

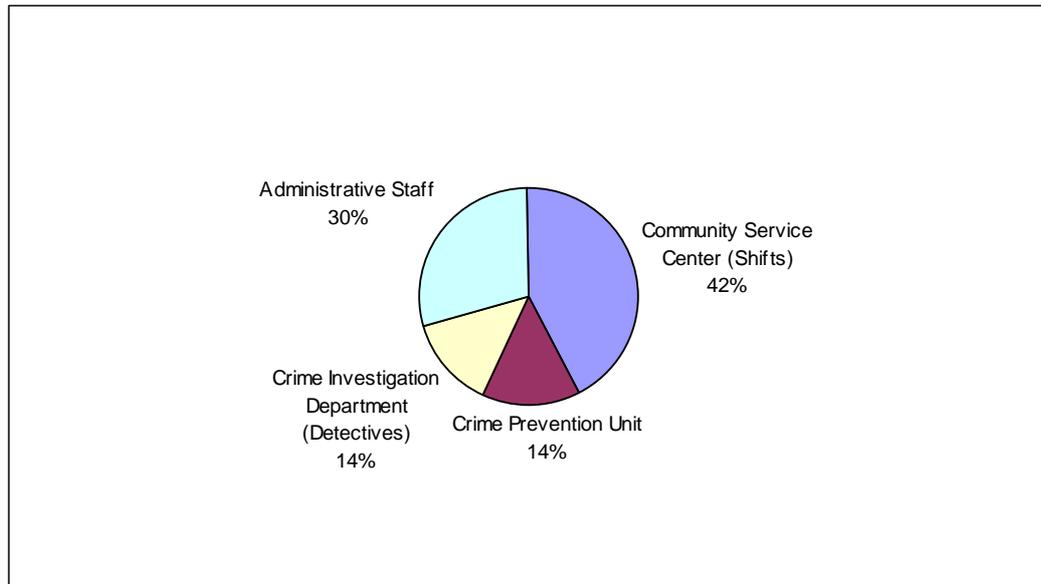
##### 4.2.1 Question 1: In what components do you currently work?

This question was divided into four sub-divisions covering all the functions at a Police Station namely, Community Service Centre (Shifts), Crime Prevention Unit, Crime Investigation Department (Detectives including members of the Crime Information Analysis Centre) and the Administrative staff (Support Services).

As can be seen from figure 4.2.1, the majority of the questionnaires, were completed by the Community Service Centre, 27 members representing 42.2% of the population, followed by the Administrative staff, 19 members representing 29.7%, followed by the Crime Prevention Unit and

the Crime Investigation Department, nine members respectively, representing 14.1% each.

**Figure 4.2.1 In what component do you currently work?**



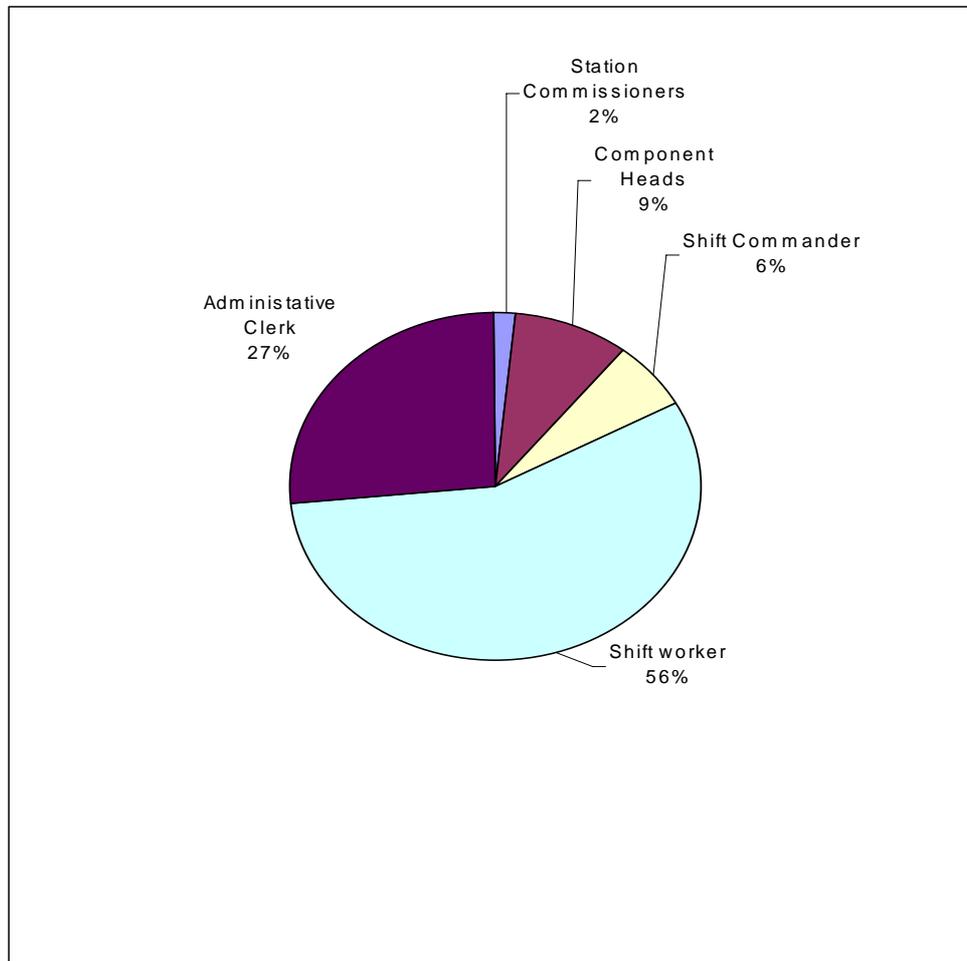
#### **4.2.2 Question 2 : What position do you hold?**

This question was divided into the five job categories represented at SAPS Parow, namely, the Station Commissioner, Component Heads, Shift Commanders, Shift workers (including Community Service Centre, Crime Prevention Unit and Crime Investigation Department – this job category represents all opescaleal members who are not in a supervisory position) and Administrative Clerks. Figure 4.2.2 indicates the following in the respective categories, Station Commissioner: 1, representing 1.6% of the entire population. Component Heads: 6, representing 9.4% of the population. Shift Commanders: 4, representing 6.3%, Shift workers: 36, representing 56.3%, followed by the Administrative Clerks: 17, representing 26.6% of the population.

An aspect that is clearly indicated in figure 4.2.2 is that all job categories are represented. Station Commissioners, Component Heads, and Shift Commander represent the “Station Management”, while the Shift workers

and administrative staff represent the “working class”. This indicates that the findings of the questionnaire are not one-sided.

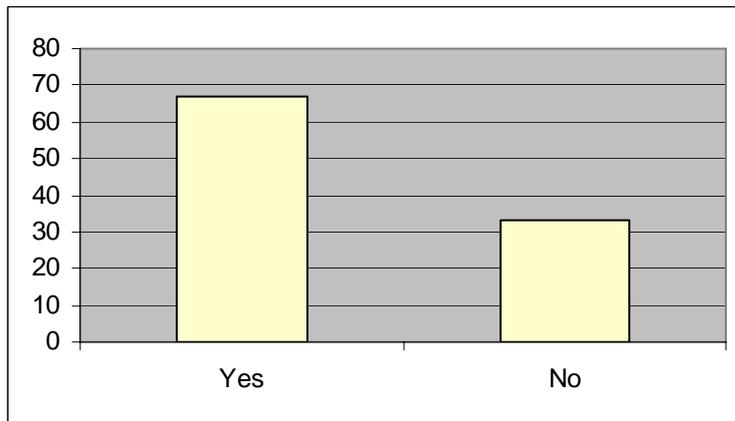
**Figure 4.2.2 What position do you hold?**



**4.2.3 Question 3: Have you ever been formally appraised (evaluated) before?**

Figure 4.2.3 indicates that 66.7% of the population had been formally appraised (evaluated) before. What it also identifies is that after more than one year from inception of PEP, one third of the population (33.3%) had never been formally appraised (evaluated) before.

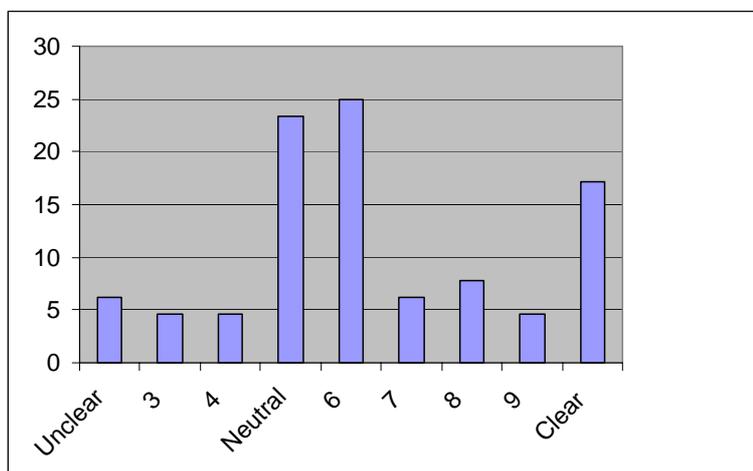
**Fig 4.2.3 Have you ever been formally appraised (evaluated) before?**



**4.2.4 Question 4: To what extent is the purpose of performance appraisal clear to you?**

This question was answered on a scale from 1 to 10. Where 1 represents not clear, 5 represents neutral, 10 represents clear, with the numbers between representing various degrees. As can be seen from figure 4.2.4, 23% of the subjects were neutral while the majority 25% selected 6. This indicates that the majority of the population are neutral, leaning slightly towards clarity about the purpose of performance appraisals. This fact relates directly to the lack of effective communication to ground level employees regarding PEP.

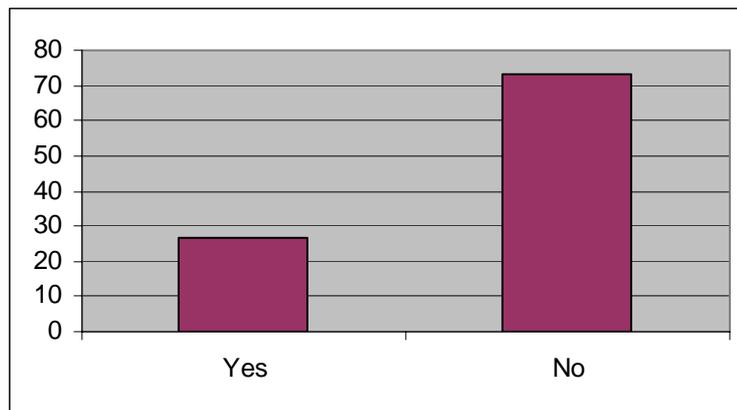
**Figure 4.2.4 To what extent is the purpose of performance appraisal clear to you?**



#### **4.2.5 Question 5: Have you ever been trained in the utilisation of PEP?**

Figure 4.2.5 indicates that only 26.6% of the population had received training in the utilisation of PEP. The majority, 73.4%, had not received any formal training in the utilisation of PEP. Despite having a formal training programme for PEP, this fact indicates a lack of commitment from management to ensure that all members receive training in PEP. How could PEP be expected to succeed if management do not take training in PEP seriously?

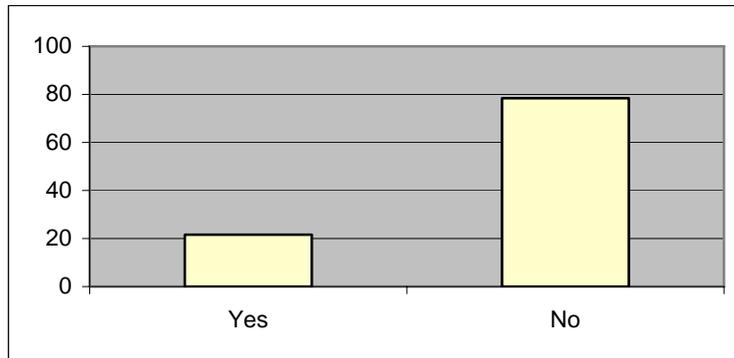
**Figure 4.2.5 Have you ever been trained in the utilisation of PEP?**



#### **4.2.6 Question 6: Do you feel this training was appropriate and sufficient?**

Figure 4.2.6 indicates very clearly that the majority of the subjects 78.4% did not feel that this training was appropriate, only 21.6% of the subjects felt that the training received was appropriate and sufficient. An inappropriate training programme indicates a lack of effective planning from management. Effective planning would result in an appropriate training programme.

**Figure 4.2.6 Do you feel this training was appropriate and sufficient?**



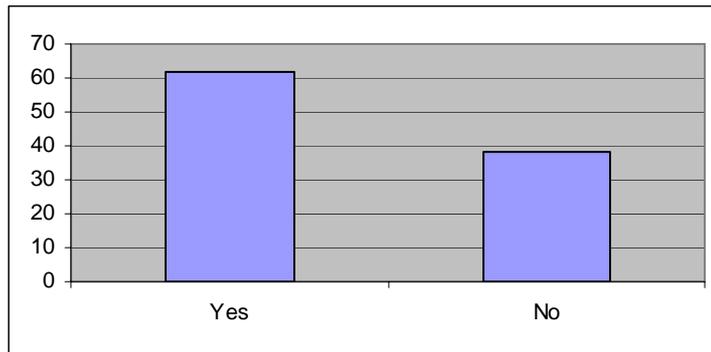
**4.2.7 Question 7: What is your attitude about performance appraisal in general?**

This was an open-ended question. Twelve subjects felt good about performance appraisals. Six subjects felt that performance appraisal could work, if it was correctly implemented. Four subjects felt bad about performance appraisals process. Three subjects did not know or understand the concept of performance appraisal, while three other subjects felt that performance appraisal was a waste of time and paper. From the answers it was made clear that a vast majority of the subjects felt positive about performance appraisal in general.

**4.2.8 Question 8: Do you think the use of a rating system provides a true reflection of individuals concerned?**

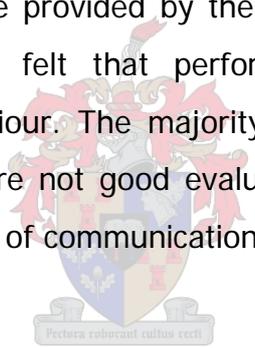
Figure 4.2.8 illustrates that 61.8% of the subjects disagree with the statement of whether a rating system provides a true reflection of individuals concerned, while 38.2% of subjects agree with the statement. This can be attributed to the fact that ground level workers were not involved in the design of PEP. Their inputs were not received and there was no sense of buy-in for ground level workers.

**Figure 4.2.8 Do you think the use of a rating system provides a true reflection of individuals concerned?**

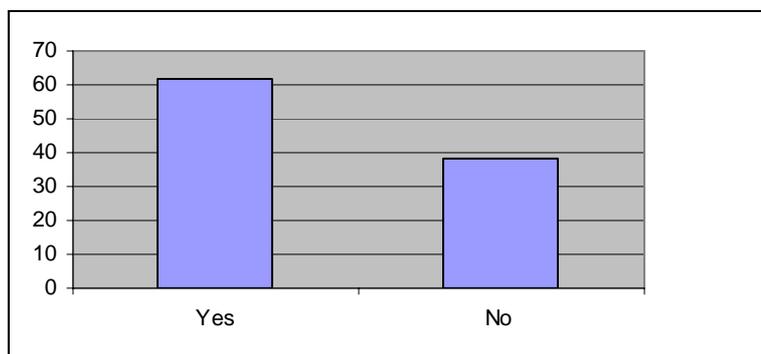


**4.2.9 Question 9: Do you think that performance appraisals are good evaluators of past behaviour?**

Subjects could answer this question by stating yes or no and provide reasons. No reasons were provided by the subjects. Figure 4.2.9 shows that 38.5% of subjects felt that performance appraisals are good evaluators of past behaviour. The majority 61.5% of subjects felt that performance appraisals are not good evaluators of past behaviour. This could be caused by a lack of communication on PEP or a lack of employee knowledge concerning PA.



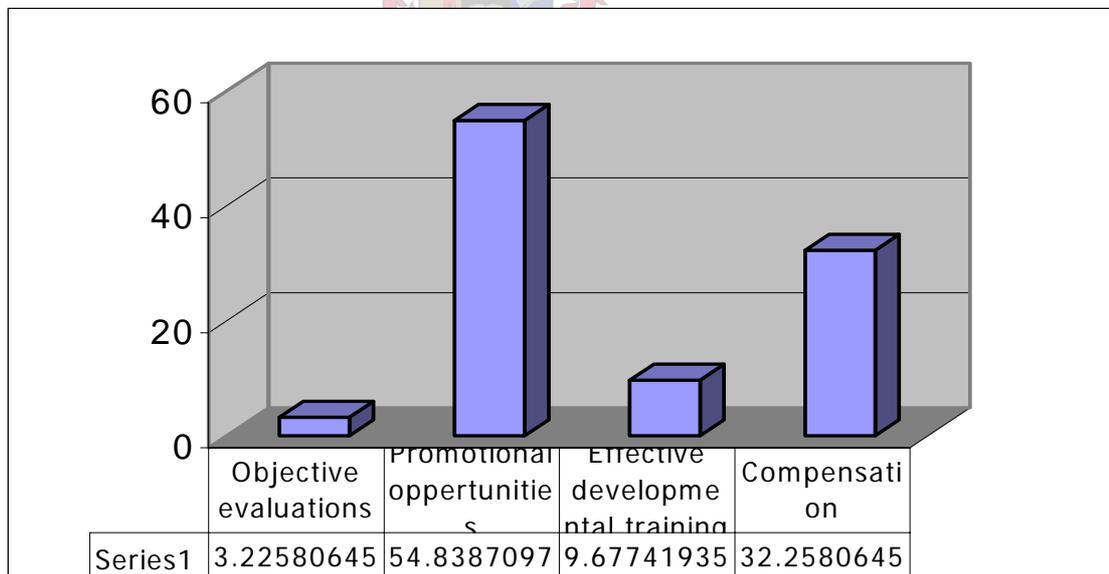
**Figure 4.2.9 Do you think that performance appraisals are good evaluators of past behaviour?**



**4.2.10 Question 10: What would you like to see included in performance appraisals?**

Subjects were provided a choice out of four possibilities, namely: objectivity in evaluations, promotional opportunities, effective developmental training and compensation. Figure 4.2.10 indicates that 3.2% of subjects require objective evaluations, 9.7% require effective developmental training, and 32.3% require compensation while the majority of 54.8% required promotional opportunities. This aspect could be skewed by the moratorium on promotions or the below inflation salary increases received by members of SAPS. The fact that subjects feel that it is necessary to add aspects to PEP indicates that the process not effectively designed and implemented or the timing of the implementation was incorrect.

**Figure 4.2.10 What would you like to see included in performance appraisals?**

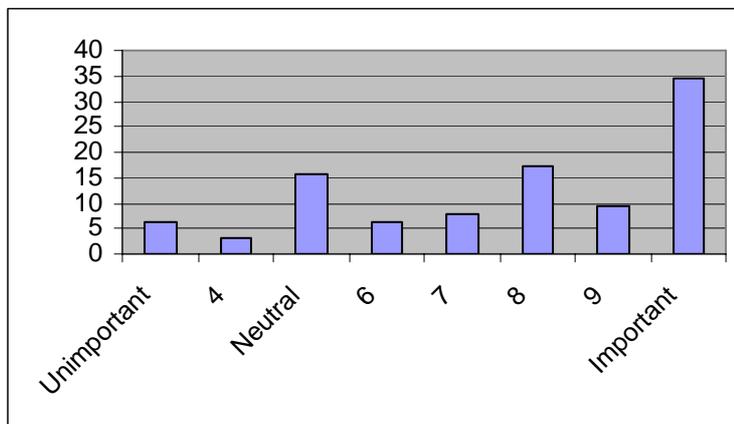


**4.2.11 Question 11: To what extent do you think it is important to have a performance appraisal system?**

Subjects could answer this question on a scale from 1 to 10, where 1 represents unimportant, 5 neutral and 10 important, with the numbers

between representing the varying degrees. 6.3% of the subjects felt that it was unimportant to have a performance appraisal system, while 15.6% neutral. The majority of subjects 34.4% believed that it is important to have a performance appraisal system. Figure 4.2.11 clearly indicates that the majority of subjects lean strongly towards important. The fact that there is however uncertainty regarding the importance of a PA system is a clear indication that PEP was not effectively communicated.

**Figure 4.2.11 To what extent do you think it is important to have a performance appraisal system?**

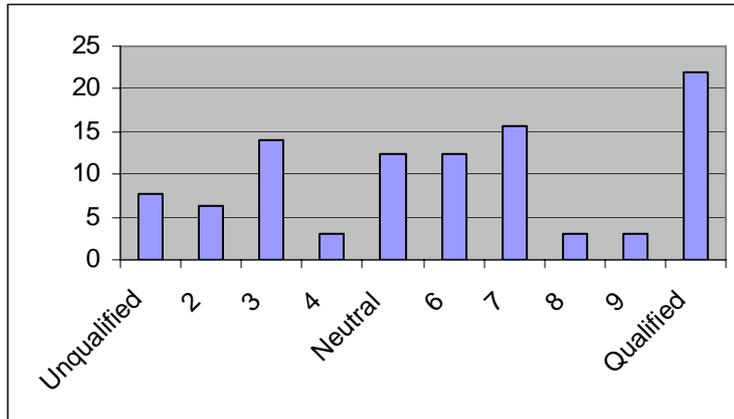


**4.2.12 Question 12: To what extent do you feel that your supervisor is qualified enough to make a meaningful assessment of your true abilities?**

Subjects could answer this question in a scale of 1 to 10, where 1 represents not qualified, 5 represents neutral and 10 qualified with numbers between representing the varying degrees. Figure 4.2.12 illustrates that 7.8% of subjects felt that supervisors were unqualified, 12.5% neutral and the majority 21.9% felt that supervisors were qualified enough to make a meaningful assessment. In addition figure 4.2.11 shows a large percentage of subjects are neutral, leaning towards qualified. However 56.2% of subjects lie between neutral and qualified indicating opinion of the majority of subjects. This low percentage can be

related to the lack of training and/or inappropriate training received by supervisors.

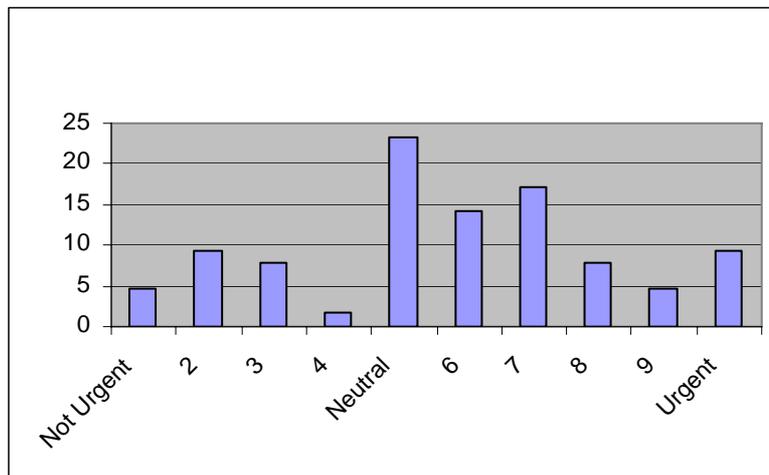
**Figure 4.2.12 To what extent do you feel that your supervisor is qualified enough to make a meaningful assessment of your true abilities?**



**4.2.13 Question 13: To what extent do you feel that performance appraisal in your component is approached with the necessary sense of urgency?**

Subjects could answer this question on a scale from 1 to 10, where 1 represents not urgent, 5 represents neutral and 10 represents urgent with numbers in between representing the varying degrees. Figure 4.2.13 indicates that 4.7% of subjects felt performance appraisal was not approached urgently, 23.4%, the majority of subjects, were neutral, with 9.4% of subjects feeling that performance appraisal was approached with the necessary sense of urgency. The largest percentages 54.7% of subjects are clustered around neutral leaning slightly towards urgent. This indecisiveness can be related to a lack of planning and commitment from management.

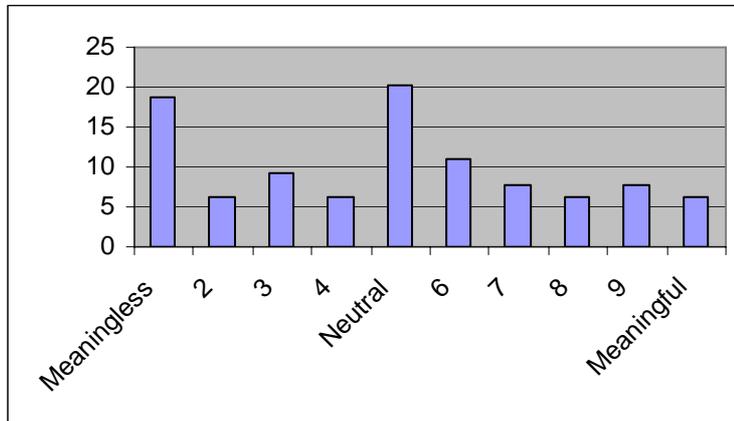
**Fig 4.2.13 To what extent do you feel that performance appraisal in your component is approached with the necessary sense of urgency?**



**4.2.14 Question 14: To what extent is the feedback given on our performance appraisal, and development plan, meaningful enough to make a marked difference in improving your performance?**

Subjects could answer this question on a scale from 1 to 10, where 1 represents meaningless, 5 represents neutral, 10 represents meaningful with numbers between representing the varying degrees. Figure 4.2.14 illustrates that 18.8% of subjects felt that the feedback given was meaningless. The majority 20.3% were neutral with 6.3% who felt that feedback was meaningful. The largest percentage 61.1% is divided between meaningless and neutral, indicating neutrality with a strong tendency toward meaningless. This large percentage reaffirms the fact that proper training is lacking, as it is evident that supervisors are not capable of giving meaningful feedback.

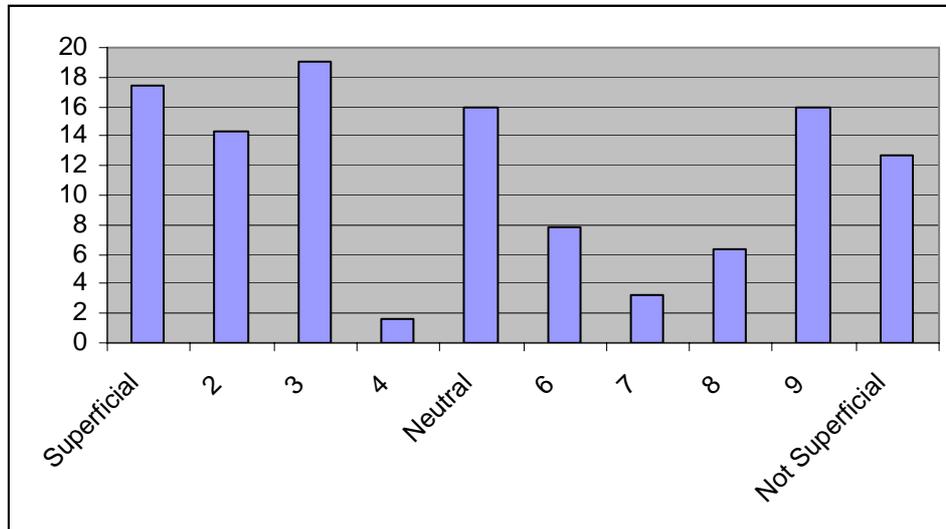
**Figure 4.2.14 To what extent is the feedback given on our performance appraisal, and development plan, meaningful enough to make a marked difference in improving your performance?**



**4.2.15 Question 15: To what extent do you feel that performance appraisal sessions can be described as a superficial process, carried out merely because a higher authority has prescribed it?**

This question was answered on a scale from 1 to 10, where 1 is representing superficial, 5 representing neutral, 10 representing not superficial with numbers between representing the varying degrees. Figure 4.2.15 indicates that 17.5% of subjects feel that performance appraisal sessions can be described as superficial, 15.9% are neutral, with 12.7% feeling that the sessions are not superficial. Figure 4.2.14 clearly indicates that the majority of subjects 50.8% are clustered around superficial, thereby indicating that most subjects view the sessions as superficial. This can be attributed to a lack of communication regarding PEP and the advantages it may have for the employees and the organisation.

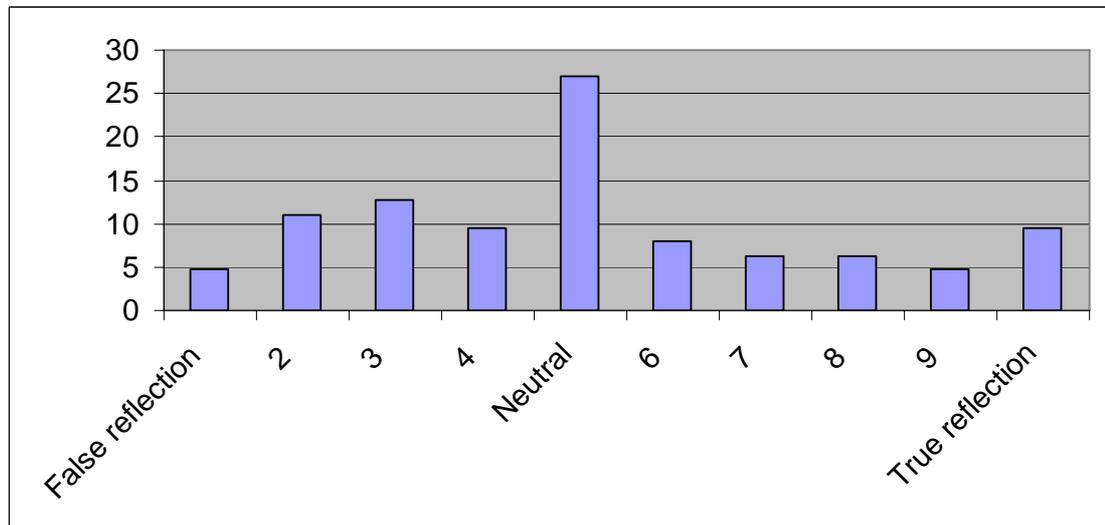
**Fig 4.2.15 To what extent do you feel that performance appraisal sessions can be described as a superficial process, carried out merely because a higher authority has prescribed it?**



**4.2.16 Question 16: To what extent do you think the results of your performance appraisal, gives a true reflection of your ability?**

This question could be answered on a scale from 1 to 10, 1 representing a false reflection, 5 neutral, 10 representing a true reflection and the numbers between representing the varying degrees. Figure 4.2.16 illustrates that 4.8% of subjects felt that performance appraisal gives a false reflection, 27.0% were neutral while 9.5% felt it was a true reflection. Although Figure 4.2.15 indicates that the majority of subjects were neutral, there is a slight tendency towards a false reflection. This was caused by the top-down implementation of PEP, which resulted in ground level members not assuming ownership of the process. A lack of involvement in the design and implementation of PEP have caused members to view the results of the process as being a false reflection of their abilities.

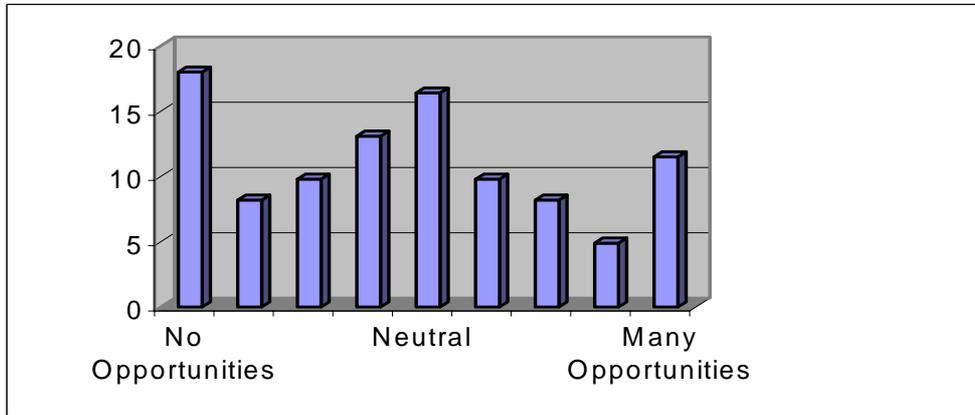
**Fig 4.2.16 To what extent do you think the results of your performance appraisal, gives a true reflection of your ability?**



**4.2.17 Question 17: To what extent are you provided with the means to improve your performance levels after feedback has been given and deficiencies in your performance have been pointed out to you?**

This question was answered on a scale from 1 to 10, where 1 represents no opportunities, 5 neutral, 10 many opportunities and the numbers between representing the varying degrees. Figure 4.2.17 illustrates that the majority of subjects 18.0% feel there are no opportunities, 16.4% are neutral with 11.5% of subjects who feel that there are many opportunities to improve performance. Figure 4.2.16 clearly indicates that 49.2% of subjects feel that there are no opportunities to improve performance, with 34.4% of subjects who feel that opportunities to improve performance do exist. The remainder are neutral. The mixed findings of this question can be attributed to the fact that PEP is not connected to other systems within the SAPS, not even training. This relates to poor planning and implementation.

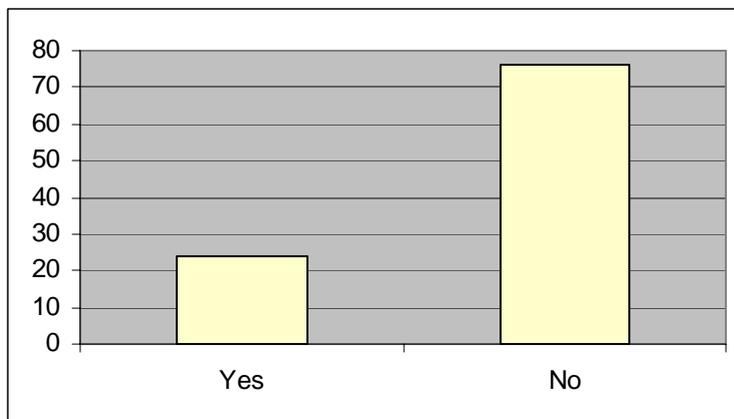
**Fig 4.2.17 To what extent are you provided with the means to improve your performance levels after feedback has been given and deficiencies in your performance have been pointed out to them?**



**4.2.18 Question 18: If performance gaps were identified for you, are developmental plans also compiled?**

Figure 4.2.18 indicates that 23.8% of subjects feel that developmental plans are compiled for performance gaps, 76.2% of subjects feel that developmental plans are not compiled. This fact can be related to a lack of adequate training of supervisors or negligence in the execution of their duties.

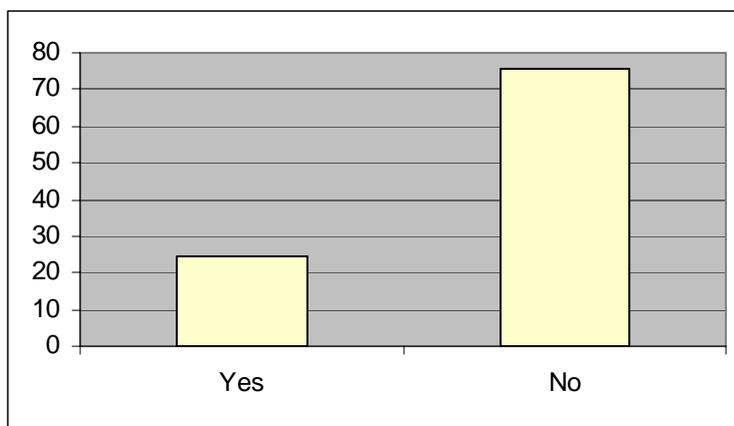
**Fig 4.2.18 If performance gaps were identified for you, are developmental plans also compiled?**



**4.2.19 Question 19: Have action steps been formulated to address your identified development needs?**

Subjects were supplied with two alternatives, yes or no. Figure 4.2.19 illustrates that 24.6% of subjects feel that action steps are formulated to address identified development needs, while 75.4% feel that no action steps are formulated. This aspect could relate to a lack of training in PEP.

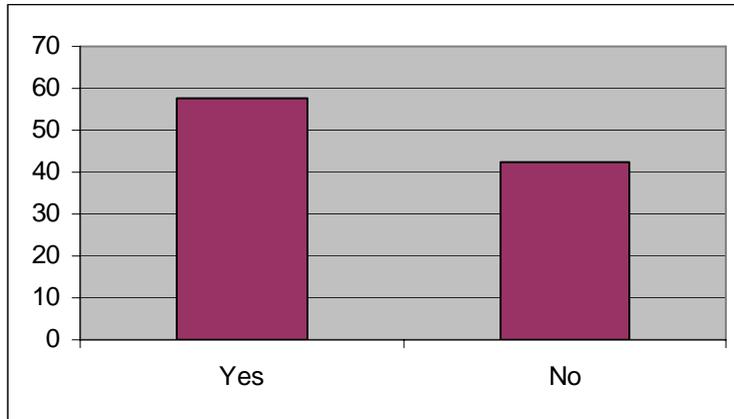
**Fig 4.2.19 Have action steps been formulated to address your identified development needs?**



**4.2.20(i) Question 20(a): Do you think it is possible to determine performance standards (quality, quantity, time, cost efficiency) for your functions?**

Subjects were supplied with two alternatives, yes or no. Figure 4.2.20(i) illustrates that 57.8% of subjects feel that it is indeed possible to determine performance standards for their functions, while 42.2% do not agree that performance standards can determine for their functions. This appears to relate to ineffective communication to ensure proper knowledge of PEP and its functioning to avoid such confusion.

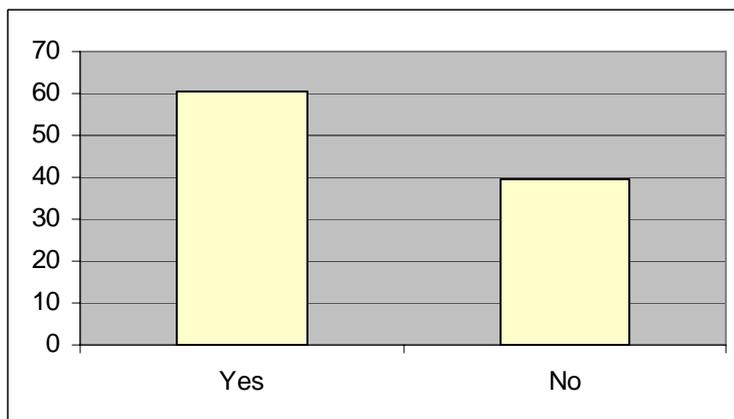
**Fig 4.2.20 (i) Do you think it is possible to determine performance standards (quality, quantity, time, cost efficiency) for your functions?**



**4.2.20(ii) Question 20(b): If so, can generic and/or specific performance standards be determined?**

Subjects were supplied with two alternatives, yes or no. Figure 4.2.20(ii) illustrates that 60.7% of subjects feel that generic and/or specific performance standards can be determined while 39.3% feel that generic and/or specific performance standards cannot be determined. As stated in Question 20(a) this aspect relates to aspects of the communication of the functioning of PEP, as it appears from the question that subjects are not properly informed about PEP and its functioning.

**Fig 4.2.20(ii) If so, can generic and/or specific performance standards be determined?**



**4.2.20(iii) Question 20(c): If this is not possible, what are the reasons?**

This was an open-ended question. Answers ranged from: component heads must be more involved to the time frame of implementation was incorrect and that it is difficult to add cost efficiency to an intangible aspect such as policing. No patterns emerged from the answers and no answer was repeated.

**4.2.21 Question 21: Any other comments you would like to make about your experience with PEP in the SAPS?**

This was an open-ended question. 53.2% of subjects had no comments. Answers ranged from: "a good process", "pity that you are rated on who you know instead of what you know", "a waste of time". One comment made was that "top management implemented the system without consulting ground level", which is why members are negative about PEP. Five subjects felt that PEP was a good process but that it was implemented incorrectly.

The above section of this research project dealt directly with the questionnaire and the data provided by the subjects. The following section will attempt to prove the problem statement. The PEP policy is a sound document but the researcher perceives problems with its implementation at station level.

With this in mind, Wynne (1995:35-105) states that an appraisal implementation plan should cover communications, training and timing.

Communication: Effective communication is required at all levels of appraisal, to all managers and employees. It should start early on in the process, informing people that an appraisal system is going to be introduced. This should be followed as soon as possible with more specific information such as the aims and objectives and as much of the process

as has been agreed and can reasonably be discussed at this stage. During the development phase, representative samples of managers should be consulted along with employee representatives, this consultation in itself is a form of communication. When the details of the system have been agreed upon, they should be communicated to all employees as soon as possible.

**Training:** The importance of training and the contribution it can make to the effective implementation of a new or redesigned system cannot be overstated. Not to provide training is to ask for failure at the outset. Any organisation which is not prepared to commit the necessary resources to the training of appraisers and appraisees, should seriously question if they should be introducing a new or redesigning an existing appraisal system at all.

**Timing:** Getting the timing of implementation right is frequently a problem for many organisations. A new or redesigned system is being prepared and half way through this process a decision is taken to introduce it earlier. There are, of course, always very good organisational reasons for doing this; however, it has to be said that many a good system failed because it didn't get the communications process or the training right as a result of being rushed into implementation. It is suspected that this occurred with the implementation of PEP. No other legitimate reason exists why PEP was implemented without connecting to other systems. Responses to the above question relate directly to the sample population at SAPS Parow. The responses cannot be directly linked to the as no other agencies were sampled. However there is a probability that these results could coincide with other police stations in South Africa.

### **4.3 Conclusion**

An aspect identified from the questionnaire is that one year since the inception of PEP, 33.3% of the personnel at SAPS Parow have not yet been formally

appraised. The findings of the questionnaire are somewhat contradictory. Regarding the attitude of members towards PA, the majority of subjects felt positive towards PEP. In a different question the majority felt that PEP was a superficial process, a paper exercise, a waste of time and money. 61.5% of subjects felt that PA was not a good evaluator of past performance, while the majority of subjects feel it is important to have a PA system.

Regarding training, a small number of subjects received training in PEP, while the largest number of subjects felt that this training was inappropriate. The majority of subjects lie between neutral and strong regarding whether their supervisor is qualified enough to make a meaningful evaluation on their past behaviour. Besides these contradictions, it was found that regarding the purpose of PEP, the majority of subjects were neutral leaning slightly towards clear, indicating some degree of uncertainty regarding the purpose of PEP.

Coens and Jenkins (2000:7) state that most people believe that they are top-notch performers (for example, 80% of people perceive themselves to be in the top quarter of all performers), and they believe that an evaluative system will recognise this and reward them with pay increases, career advancement, promotions, and other perks. To them, dropping appraisal will mean their good efforts will go unnoticed and unrewarded – they will get the same treatment as their sub-par peers.

This chapter dealt with the analysis and interpretation of findings of the questionnaire administered to the personnel of SAPS Parow. What was made evident from this is that currently there are numerous problems associated with PEP namely: a lack of participation in the design and implementation of the process, ineffective communication regarding PEP and training deficiencies. The next chapter will provide recommendations to address the above mentioned issues.

# Chapter 5

## Recommendations

### **5.1 Introduction**

This chapter serves to make recommendations from the research results and to highlight challenges relevant to PA identified from an interview with the PEP Co-coordinator of the East Metropole, Captain Bacher. The first section of this chapter will provide challenges and recommendations of PA.

### **5.2 Summary of Findings**

Findings from the questionnaire and interview can be summarised into the following aspects, namely:

- There exists a degree of uncertainty regarding the subject's clarity of the purpose of PEP.
- Inadequate / inappropriate training.
- Contradictions regarding subjects' attitude/perception about PEP.
- Line managers were not brought aboard in developing the process.
- Station commissioners do not assume responsibility for the process.
- Supervisors are not interested in the importance of PEP.
- Top management did not assume responsibility for the implementation of PEP.
- No financial support for training in PEP.

The remainder of this chapter will focus on recommendations to improve the current PA system of the SAPS.

### **5.3 Recommendations**

#### **5.3.1 Conducting an Audit:**

The first step in the process of conducting an audit is to audit the system that is currently in use by the SAPS. This would identify and highlight any problems that exist and possibly provide ideas to overcome them. In conducting the audit

it is essential that the users, both appraisers and appraisees, be fully involved and that their views and inputs are acted upon. The suggested approach would be:

- Design and conduct a survey to assess management and staff opinion. The survey should be specific and only focus on attaining sufficient information about the PA process of the SAPS.
- To ensure unbiased information, an external consultancy could be used to conduct the survey. The consultancy should be allowed to conduct face-to-face discussions to obtain best results.
- In designing the survey and follow-up discussion, it is important to not only focus on perceived problems, but also to include what people would put in its place.
- Surfacing and examining the assumptions of the current PA system could provide the creative spark needed to effectively design a new PA system. An important aspect in the designing of a new system would be to involve all role-players to ensure role-players buy-in of the process. If management ownership of the process is not ensured, the process will not be effective.

### **5.3.2 Structural Problems and Barriers within the Organisation**

The types of structures, systems and cultural barriers of the organisation can get in the way of PA, and can be put down to issues of management style and organisation structure. The SAPS is a large bureaucratic organisation with high levels of complexity. The current structure is not conducive to the most effective use of the current PA system. What is needed is a shift, for the organisation to become more open and to seek to empower and involve the workforce and to overhaul the culture and style of the organisation to ensure the effective use of the PA system.

To ensure this, the designers of the system must ensure they come up with the best possible system, which enables the workforce to obtain a clear focus on how to improve their performance and development. The designers of the system should ensure that the system is accepted by the people using it,

understand and feel comfortable with it and enable the people to see its relevance to them and see how it contributes to their effectiveness and the effectiveness of the organisation. The best way to ensure this is by workforce involvement in the design process of the system, which should be designed to meet the needs of the entire organisation. The designers of the system should also bear in mind that no matter how good the system, if it is not accepted by the people who operate it, it will not be as effective as intended. Therefore involvement of the workforce is vital.

### **5.3.3 Training:**

For PA to succeed in the SAPS, management would have to be more committed to the training of personnel. This commitment should include financial support, human resource support and motivation. The training referred to is training in the key skills which are required in appraisals, namely:

- Building rapport;
- Questioning;
- Listening; and
- Giving feedback.

These aspects will now be discussed in more detail.



- **Building Rapport**

Establishing rapport is about getting on the same “wavelength” as another person, tuning in, getting a meeting of more than minds, a meeting of complete persons. When rapport has been established, it leads to a much greater sensitivity to the needs and feelings of the other person, much greater understanding and a chance of agreement between both parties. Training in this area should focus on methods and techniques for establishing rapport coupled with role-plays to ensure practicality. Currently the SAPS make use of a quasi-military rank structure coupled with a high level of discipline. In this respect, if an employee (constable, sergeant or inspector) is evaluated by a supervisor or component head (captain or superintendent), there is an aspect

of discomfort due to the rank difference. For that reason, training in building rapport is vital to the success of PA in the SAPS.

- **Questioning**

The ability to ask appropriate questions is important because the appraisal meeting should be an opportunity for the manager to get to know more about the views, feelings and opinions of the person being appraised. Training should focus on the required skills for effective questioning, focusing on types of questions and the various techniques to support questioning. Members of the SAPS are accustomed to questioning aspects of a criminal nature in society. Large numbers of members have for that reason received training in interrogation and questioning techniques. However the focus of these questions are directed at aspects of crime and criminality and not on creating an atmosphere of openness and trust where sensitive questions can be asked and answered. There is a definite difference in focus of the different types of questioning and for that reason training in questioning techniques for PA is essential.

- **Listening**

An essential skill for appraisers is the ability to listen. If an appraiser cannot listen effectively it would not be possible to conduct a meaningful or effective appraisal. Training for listening techniques should be practically orientated and focus on behaviour to support effective listening. As stated by the section on building rapport, the rank structure may have a definite impact, so too with listening. In the SAPS, members of a higher ranks are notorious for not listening to the opinions and views of subordinates. This practice is detrimental to PA. For PA to be successful in the SAPS, supervisors would have to be willing to listen to subordinates and to receive training to effectively listen so as to understand their subordinates.

- **Giving Feedback**

The giving of feedback is one of the most essential parts of appraisal as it reflects on the development aspect. However, managers sometimes feel reluctant to give feedback for fear of appearing to be condescending or for fear of being hurtful. This often means that many people have little or no idea of how they are doing. Training in this area should focus on supplying managers with the ability to give constructive feedback.

Currently the SAPS have a training programme for PEP. However, this programme is too short and does not effectively equip members with the necessary skills required to make a meaningful assessment. This training programme requires redesign to ensure that it equips members with the necessary skills required. In addition, this would require financial support and commitment from management to take PA training seriously. The redesigned programme should be made available to both appraisers and appraisees, to ensure that the entire organisation is trained in the functioning of the PA system.

The role of training cannot be underestimated in overcoming fears and uncertainties, and ensuring that expectations are managed and the benefits to be gained from appraisals are achieved for the employees and the organisation.

#### **5.3.4 Connect the PA System to Other Processes and Systems**

When does an evaluation really matter to an employee? The answer to this question is when the evaluation means something as regards promotion, special selection or some other tangible element. The current PA system offers nothing for the individual to motivate him or her to improvement. To apply meaning to PA and to assist in the development of employees, the SAPS will need to apply a connection between the PA system and other systems and structures; an example would be a connection between the PA system and promotional opportunities or salary increment. If this is done, the workforce can add value to

the PA system and know that their daily activities mean something toward their future and the future of the organisation.

### **5.3.5 Commitment from Top Management.**

The above-mentioned recommendations are important to the success of a PA system, but equally important is the commitment of top management of the organisation. If the top management of the organisation is not totally committed to the PA system, it will cascade down the organisation and have a definite negative impact on the PA system. Likewise, if the top management is committed to the system, it will filter down the organisation and have a positive impact on the PA system. With this in mind, the top management of the SAPS must step forward, accept responsibility for the PA system and reflect a positive attitude towards the PA system.

## **5.4 Conclusion**

This chapter served to provide recommendations to the perceived problems identified with PEP. The recommendations made should, however, not be viewed as an absolute solution to the problems of PEP. It is the opinion of the researcher that the recommendations should be applied in a cycle or systems approach. By using this approach, the PA system can be regularly audited and any discrepancies can be identified and rectified, until the best possible system has been implemented. The next chapter will serve to conclude the research and reflect on the research objective of this study.

# Chapter 6

## Conclusion

### 6.1 Introduction

This chapter serves to conclude the research and reflect on the research objective of this study. The objective of the study was to assess the opinions of members on the PA system (PEP) of the SAPS at SAPS Parow. In order to achieve this, the researcher conducted a relevant literature review and administered a questionnaire to personnel at SAPS Parow to assess their perception about PEP. Finally, the researcher provided recommendations aimed at improving the PA system. As it was the objective of the researcher to assess the PA system of the SAPS, it was not necessary for a hypothesis, but only a problem statement.

In conducting the research, the researcher used a case-study design type with quantitative and qualitative methodologies. The sampling technique used was that of non-probability-accidental sampling. The method of data analysis used was content analysis; the researcher made use of the SPSS computer-aided software in data analysis.

The framework for this chapter starts with a summary of the main findings of the research. This is followed by a summary of the recommendations, followed by aspects identified by the researcher which need future research, and lastly, concluding remarks on the study.

### 6.2 Summary of Research Findings.

The research findings indicate that a degree of uncertainty exists about the purpose of PEP, with inadequate and/or inappropriate training. A lack of ground level involvement exists in the design, as well as contradictions

regarding attitudes/perceptions of subjects about PEP. In addition there is a failure of top-management to assume responsibility and offer sufficient financial support for the process, coupled with a lack of supervisory interest in the process.

### **6.3 Summary of Recommendations.**

It was recommended that an audit is conducted to identify and highlight problems that exist and to possibly provide ideas to overcome them. The elimination of structural problems and barriers within the organisation that are in the way of the PA system should follow the audit. This should be followed by a redesign of the training system to include appraiser and appraisee training. Connecting the PA system to other systems and processes within the organisation and obtaining of a charter from top-management to ensure their commitment is seen as essential.

### **6.4 Future Research**

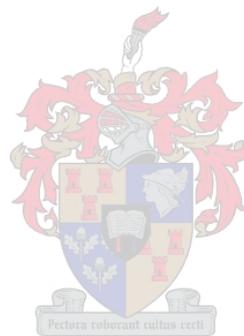
The effect of implementation of an individual-based incentive system on the motivation and productivity of members of the SAPS and its effect on the acceptance of the PA system, require future research. In addition, the correlation between intrinsic motivators (salary, etc.) and the encouraging focus on extrinsic motivators (better working conditions, etc.), as well as the effect of a bottom-up approach to the design of a PA system on the acceptance and effectiveness of that PA system within the SAPS, were aspects identified by this research as areas that could benefit from future research.

### **6.5 Conclusion**

The purpose of this research was to assess members' perceptions on the PA system of the SAPS, namely PEP. The premise of this report was that PEP

itself, is a sound document, but that there are problems with its implementation at station level. The results from the research and information gained by an interview strongly confirm that there are problems with the implementation of PEP. The recommendations made in Chapter 5 should therefore be seen as tools that could be used to correct or correctly implement the PA system of the SAPS.

An often-overlooked fact is that appraisals do work and employees, managers and the organisation can gain significant benefits from an effective PA system. However, what is required is that effort is spent by the SAPS on designing a system, which meets the needs of the organisation, and then monitoring, reviewing and evaluating that system continuously to ensure that it continues to meet the needs of the organisation.



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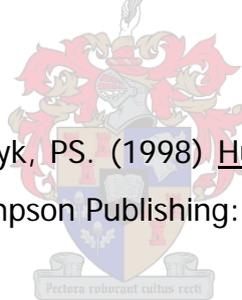
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## **Performance Enhancement Process (PEP) Questionnaire.**

The attached questionnaire attempts to assess the perceptions/ opinions of the members of SAPS Parow regarding PEP.

The questionnaire contains statements to which a response is required to a predetermined scale on each page. You are required to indicate your opinion to a statement by marking with a cross the grading that best expresses your viewpoint on the statement, or where necessary a brief statement.

This project forms part of the requirements for a Masters of Public Administration degree. The success of this project depends on a sufficient degree of co-operation by respondents. Your co-operation is voluntary, yet it could determine the success of the project. It is for this reason that I appeal to you to take a few minutes of your time to complete this questionnaire. The completed questionnaires can be returned to me on 2003-07-15. The project is for academic purposes and has no connection to the SAPS. Please be assured that the information supplied by you will be treated confidentially and anonymity is guaranteed.

Thank you for your co-operation.

---

B. Krause  
0829407164



**ANNEXURE A**

**PEP Questionnaire**

**1. In which component do you currently work?**

- Community Service Centre (Shifts)
- Crime Prevention Unit
- Crime Investigation Department (Detectives)
- Administrative

**2. What position do you hold?**

- Station Commissioner
- Component Head
- Shift Commander
- Shift worker
- Administrative Clerk

**3. Have you ever been formally appraised (evaluated) before?**

Yes

No

**4. To what extent is the purpose of performance appraisal clear to you?**

1

2

3

4

5

6

7

8

9

10

Not Clear

Neutral

Clear

**5. Have you been trained in the utilisation of the Performance Enhancement Process (PEP)?**

Yes

No

**6. Do you feel this training was appropriate and sufficient?**

Yes

No

**7. What is your attitude about performance appraisal in general?**

.....  
.....  
.....

**8. Do you think the use of rating systems provides a true reflection of the individuals concerned?**

.....  
.....  
.....

**9. Do you think that performance appraisals are good evaluators of past behaviour?**

Yes

No

**Why?**.....  
.....  
.....

**10. What would you like to see included in performance appraisals?**

- Objectivity in evaluations
- Promotional opportunity
- Effective developmental training
- Compensation
- Anything else .....

**11. To what extent do you think it is important to have a performance appraisal system?**

1    2    3    4    5    6    7    8    9    10

Not Important

Neutral

Very Important

**12. To what extent do you feel that your supervisor is qualified enough to make a meaningful assessment of your true abilities?**

1    2    3    4    5    6    7    8    9    10

Not Qualified

Neutral

Qualified

**13. To what extent do you feel that performance appraisal in your component is approached with the necessary sense of urgency?**

1    2    3    4    5    6    7    8    9    10

Not Urgent

Neutral

Urgent

**14. To what extent is the feedback given on your performance appraisal, and development plan, meaningful enough to make a marked difference in improving your performance?**

1    2    3    4    5    6    7    8    9    10



**(c) If impossible the reasons are:** .....

.....  
.....

**21. Any other comments you would like to make about your experience with PEP in the SAPS:**

.....  
.....  
.....

**Thank you for your co-operation, time and effort in completing this questionnaire. Your effort is appreciated.**

