

**AN ASSESSMENT OF THE REQUIRED COMPETENCIES
FOR THE SENIOR MANAGEMENT SERVICE IN THE
SOUTH AFRICAN PUBLIC SERVICE**

A. Rossouw

13747126



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Study Leader: Prof. E Schwella

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 at any other university for a degree.

Signature:

Date:

SUMMARY

A major challenge facing the South African government is the acceleration of service delivery improvement to ensure a better life for all South Africans. The White Paper on the Transformation of the Public Service (South Africa, 1995) has as its objective “empowering, challenging and motivating managers at all levels to be leaders, visionaries, initiators and effective communicators and decision-makers, capable of responding pro-actively to the challenges of the change process, rather than acting as the administrators of fixed rules and procedures.” The White Paper also proposes that new and more participative organisational structures, new organisational cultures, learning organisations, and techniques for managing change and diversity be developed.

A new Performance Management and Development System (PMDS) for the Senior Management Service (SMS) has been created, which has as its basis performance management and development as an approach. It consists of a standardised set of competencies, to be used as basis for performance appraisal. As it is expected of SMS members to manage and lead their respective institutions to meet the stated objectives, the Core Management Criteria (CMCs) will have to assist the development of competencies in SMS members to capacitate them to meet the stated objectives and to lead their organisations to change that will assist service delivery.

The question, therefore, arises whether the CMCs will develop SMS members to lead their organisations to change. **The aim of this research will be to determine whether the competencies used in the PMDS are also focused on leadership and organisational development issues needed in a developmental situation to enable SMS members to lead their organisations, rather than merely acting as the administrators of fixed rules and procedures.**

The research is divided into distinct phases. The first entails exploring the meaning of competence and the conceptual structure of competencies to be able to analyse the CMCs. This is followed by an analysis of managerial versus leadership competencies in general to provide a theoretical context for an analysis of the CMCs in terms of management or leadership focus.

In the next phase the CMCs as competencies used in the PMDS are also analysed and discussed, after which a comparative analysis is undertaken, with competencies used in notable international examples to provide context. In the final phase the CMCs as competencies are analysed in terms of management or leadership focus and focus on organisation development.

The research showed that the appraisal system used for the SMS members in terms of the PMDS could lead to a manipulation of the appraisal system whereby SMS members could “influence” the system to their own benefit. The research also showed that there are definite personally oriented competencies absent from the PMDS, whereas they are present in the international examples.

The research also showed that certain competencies supporting leadership roles are strengthened by the international systems, whereas these are absent from the PMDS and therefore not strengthened. The research further showed that these leadership roles that are not strengthened by the PMDS, but are included in the international systems, also coincide with the leadership roles that are not strengthened from a theoretical perspective.

The research concludes that the CMCs used in the PMDS would probably not support SMS members to develop competencies that are oriented towards leadership and organisation development to enable them to really change their organisation to adapt.

OPSOMMING

Die groot uitdaging wat die Suid-Afrikaanse regering tans in die gesig staar, is versnelde verbetering van dienslewering om 'n beter lewe vir alle Suid Afrikaners te verseker. Een van die doelwitte van die Witskrif op die Transformasie van die Staatsdiens (1995), is die bemagtiging, uitdaging en motivering van bestuurders op alle vlakke om versierende leiers, inisieerders en effektiewe kommunikeerders en besluitnemers te wees, instaat om pro-aktief te reageer op die uitdagings van die proses van verandering, eerder as om bloot die administrators van reëls en voorskrifte te wees. Die Witskrif stel ook voor dat nuwe en meer deelnemende organisatoriese strukture ontwikkel word, 'n nuwe organisasie-kultuur geskep word en dat organisasies voortdurend by verandering en diversiteit sal aanpas.

'n Nuwe prestasiebestuur en –onwikkelingstelsel is gevolglik vir die Senior Bestuurskader ontwikkel. Die stelsel bestaan uit 'n gestandaardiseerde stel Kern Besuurskriteria wat as basis vir prestasie-evaluering gebruik word. Aangesien dit van Bestuurders verwag word om hul onderskeie komponente te bestuur en die leiding te neem om gestelde doelwitte te bereik, moet die stelsel vaardighede in die Bestuurders ontwikkel wat hulle instaat sal stel om wel die doelwitte te bereik en om leiding te neem om hul organisasies te transformeer om verbeterde dienslewering te bewerkstellig.

Die vraag ontstaan egter of die gestelde Kern Bestuurskriteria wel leierskapsvaardighede sal ontwikkel, wat Bestuurders sal benodig om die leiding te neem ten opsigte van verandering. **Die doel van die navorsing is om vas te stel of die Bestuurskriteria wat in die prestasiebestuur en –onwikkelingstelsel gebruik word, ook gefokus is op leierskap- en organisasie-ontwikkelingsvaardighede, wat bestuurders sal benodig om leiding te neem, teenoor bestuurders wat slegs optree as administrateurs van reëls en voorskrifte.**

Die eerste gedeelte van die navorsing analiseer die betekenis van vaardigheid en die konsepsuele struktuur van vaardighede, ten einde die Kern Bestuurskriteria te ontleed. Hierna volg 'n ontleding van bestuurs- en leierskapsvaardighede in die algemeen, om die teoretiese konteks vir die ontleding van die Kern Bestuurskriteria in terme van fokus op bestuur en leierskap te verleen.

In die volgende fase, word die Kern Bestuurskriteria wat as vaardighede in die Suid-Afrikaanse bestuurstelsel gebruik word, ontleed en bespreek. Hierna word 'n vergelykende analise gedoen met vaardighede wat in geseleketeerde internasionale stelsels gebruik word, om verdere konteks te verleen. Die Kern Bestuurskriteria word daarna ontleed in terme van fokus op bestuur of leierskap, en ook organisasie-ontwikkeling.

Die navorsing het bevind dat die evalueringstelsel vir die bestuurskader moontlik deur bestuurders gemanipuleer kan word om hulself te bevoordeel. Die navorsing het verder getoon dat definitiewe vaardighede wat op die persoon self gemik is, ontbreek, terwyl dit wel in die internasionale voorbeelde teenwoordig is.

Die navorsing het verder bevind dat die internasionale voorbeelde wel sekere vaardighede leierskapsrolle ontwikkel en versterk, terwyl dit afwesig is in die Suid Afrikaanse stelsel. Die navorsing het verder bevind dat die leierskapsrolle wat nie deur die Suid Afrikaanse stelsel versterk word nie, maar wel deel vorm van die internasionale voorbeelde, ooreenstem met die leierskapsrolle uit 'n teoretiese oogpunt, wat nie deur die Suid Afrikaanse stelsel versterk word nie. Die navorsing bevind finaal dat die Kern Bestuurskriteria waarskynlik nie die nodige leierskaps- en organisasie-ontwikkelingsvaardighede in bestuurders sal ontwikkel nie, wat wel nodig sal wees om organisasies te verander.

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LIST OF SELECTED ABBREVIATIONS

CMC:	Core Management Criterion used in the RSA
CVF:	Competing Values Framework
DPSA:	Department of Public Service and Administration
EA:	Executive Authority
ECQ:	Executive Core Qualifications in the USA
HOD:	Head of Department
IPDP:	Integrated Personnel Development Plan
KRA:	Key Result Area
MPSA:	Minister of Public Service and Administration
NPM:	New Public Management
OD:	Organisation development
OPM:	U.S. Office for Personnel Management
OT:	Organisation transformation
PA:	Performance Agreement

- PGWC:** Provincial Government of the Western Cape
- PMDS:** Performance Management and Development System for the SMS
- SCS:** Senior Civil Service of the United Kingdom
- SELCF** Senior Executive Leadership Capability Framework in Australia
- SES:** Senior Executive Service in the USA
- SMS:** Senior Management Service in South African
- SPMS:** Staff Performance Management System
- SPS:** Senior Public Service in the Netherlands

CHAPTER 1:

INTRODUCTION AND OVERVIEW

1.1 INTRODUCTION

The context within which the public sector in South Africa should function is set out in Section 195(1) of the Constitution of South Africa (South Africa, Act No 108 of 1996), where it is stated that:

- “(1) Public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:
- (a) A high standard of professional ethics must be promoted and maintained.
 - (b) Efficient, economic and effective use of resources.
 - (c) Public administration must be development-oriented
 - (d) Services must be provided impartially, fairly, equitably and without bias.
 - (e) People’s needs must be responded to, and the public must be encouraged to participate in policy-making.
 - (f) Public administration must be accountable.
 - (g) Transparency must be fostered by providing the public with timely, accessible and accurate information.
 - (h) Good human-resource management and career-development practices, to maximise human potential, must be cultivated.
 - (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation.”

It is expected of the members of the Senior Management Service (SMS) of the public service to manage and lead their respective institutions within the context of these basic values and principles.

Against this backdrop, the White Paper on the Transformation of the Public Service (South Africa, 1995) states that institution building and management are part of the creation of a strategic framework for change. In this regard, the White Paper lists one objective as “empowering, challenging and motivating managers at all levels to be leaders, visionaries, initiators and effective communicators and decision-makers, capable of responding pro-actively to the challenges of the change process, rather than acting as the administrators of fixed rules and procedures” (South Africa, 1995: 48 – 51). It also proposes that strategies should be developed to deal with, *inter alia*, new and more participative organisational structures, new organisational cultures, learning organisations, and managing change and diversity.

It must also be borne in mind that, since 1994, the public sector has been experiencing major transformation, as is the case with all other sectors. This has also entailed structural transformation because of changing policies and priorities.

This gives an indication of the specific and dynamic environment in which members of the SMS have to operate, where the emphasis is not only placed on competencies in the management and leadership fields, but also on the field of organisation development. Because of the environmental changes, frequent internal and structural changes have been necessitated to enable institutions to adapt to environmental and political changes. In this regard, Harvey & Brown (2001:8) suggest that organisation development is one of the primary means of creating more adaptive organisations and that today's managers need a new mindset - one that values flexibility, speed, innovation and the challenge that evolves from constantly changing conditions. It thus follows that senior managers now need specific competencies to enable them to manage and lead their organisations effectively into the future, while maintaining – and even improving – effectiveness and efficiency.

The Performance Management and Development System (PMDS) for the members of the SMS was developed by the National Department of Public Service and Administration to ensure that SMS members are enabled and capable of meeting these challenges. As from 2001, this has been applied in all national and provincial government departments in South Africa to measure performance against set competencies and also to develop the competencies needed by the SMS members to meet the challenges of the public service in the new and changing South Africa.

An analysis of the competencies used leads to the questions asked in this study. Are the competencies used in the PMDS for the SMS predominantly management competencies and will the competencies that are developed lead to their playing stronger leadership roles in directing the development of their organisations?

For the purpose of this research, the PMDS for the SMS format used in the Western Cape Provincial Government (Western Cape, 2002) will be used, as it consists of exactly the same competencies as other formats used in the rest of South Africa.

The researcher is a manager in the Western Cape Provincial Government and the performance agreements (PAs) of his superiors therefore direct his work activities. However, it is important to note that this study does not intend to reflect on the competence of any specific SMS member. It must also be borne in mind that, unlike in other developed countries where there were gradual changes taking place in their respective civil services, the rapid changes in recent years have led to the SMS in South Africa consisting of a mixture of members ranging from those with well-developed management and leadership competencies to members still developing management competencies. This study also does not intend to reflect negatively on any category of SMS members.

1.2 THE AIM OF THE RESEARCH

SMS members should not only manage the activities in their respective fields of responsibility, but should also be leaders and change agents to make their organisations more effective. Nanus (1999:137) maintains that leadership is all about making the right changes at the right time to improve the organisation's effectiveness and that, to be effective, leaders should be extremely sensitive to opportunities for change. This is what SMS members need.

The aim of the research will be to determine whether the competencies used in the PMDS for the SMS in the public service are also focused on leadership and organisational development issues needed in a developmental situation to enable them to lead their organisations, rather than merely acting as the administrators of fixed rules and procedures.

1.3 METHODOLOGY

In analysing the competencies used as measurement in the PMDS for the members of the SMS, it was necessary to research the theoretical underpinnings of competence, competencies, management competencies and also leadership competencies.

It was also necessary to analyse and describe the actual PMDS and to compare the competencies used against the theoretical perspectives. An insight into the practical implementation of the system was provided through observing the implementation of the system in the researcher's own Department. The researcher was, however, not present during interviews with SMS members, as these evaluations are of a confidential nature.

The competencies used were then also analysed against a model developed by the researcher, which indicates whether the development of these competencies will develop the managers into leaders who will ensure

individual effectiveness, team effectiveness and organisational effectiveness through interventions in the technological, behavioural and structural fields.

1.4 LITERATURE REVIEW

The researcher has, for the purposes of the research, conducted a survey of the literature that included the following topics:

- General management
- Leadership
- Organisational development
- Competence
- Competencies
- Performance management
- The learning organisation

Other literature perused includes the Performance Management and Development System for the Senior Management Service and the White Paper on the Transformation of the Public Service (South Africa, 1995).

1.5 LAYOUT OF THE RESEARCH REPORT

Chapter 2 provides the theoretical basis of the research. The meanings of competence and competency, as well as management and leadership competencies, are discussed. The PMDS for the SMS is described and analysed in **Chapter 3**, with a theoretical comparison of the competencies used. **Chapter 4** provides an analysis of the Core Management Criteria (CMC) used in the PMDS. The CMC are also compared to competencies used in selected international examples.

In **Chapter 5** the CMC used in the PMDS are analysed in terms of their leadership and management focus and also assessed in terms of their impact on organisational development through modelling.

This discussion will culminate in **Chapter 6**, where conclusions are drawn and recommendations made based on the research findings.

Before any comparison of the PMDS with international examples, or an analysis of the CMCs in terms of focus, can be undertaken, the concepts of competence and competency first need to be analysed and then evaluated in terms of management or leadership principles. These issues will therefore be dealt with in the next chapter.

CHAPTER 2

THEORETICAL FRAMEWORK

2.1 INTRODUCTION

This chapter provides a theoretical basis for the research by conceptualising the concepts of competence and competency. A central theme of the research is to determine whether the PMDS for the SMS is developing leadership capabilities in managers. This chapter therefore explores the issues of whether a manager and a leader are two entirely different kinds of people and what the nature of the concepts of management competencies and leadership competencies is.

The findings of this chapter will form the basis for an analysis of the CMCs used in the PMDS in Chapter 5 to determine whether the CMCs used as the basis for assessment and development of SMS members are predominantly management or leadership focused. The CMCs will also be analysed in terms of their focus on organisation transformation and development in the same Chapter. The PMDS will be described and conceptualised in Chapter 3, leading into a comparative analysis with international examples in Chapter 4.

2.2 THE MEANING OF COMPETENCE

The term competence is widely used in society to express adequacy. The *Oxford Advanced Learner's Dictionary* (Cowie (ed.), 1989:235) defines competence as "having the necessary ability, authority, skill, knowledge" that would amount to a person being competent. The *Collins Pocket Reference English Dictionary* (Hanks (ed), 1992:97) defines someone who is competent as someone who is able, skilful, properly qualified, proper, legitimate and suitable. This definition of being competent in relation to that of competence implies proficiency and competence, which would be in line with the definition

of competence put forward by Bhatta (2000:195). Bhatta defined competence as a term used to identify someone who is efficient and effective, or who has the ability to perform to a standard.

Critten (1993:18) describes competence as a wide concept, which embodies the ability to transfer skills and knowledge to new situations within the occupational area. Quinn *et al.* (1990:14) hold that competency is the knowledge and skill necessary to perform a certain task or role. Meyer (1996:31) takes the argument further by stating that competence is the outcome and the product of learning, leading to the development of competencies. Competence will, therefore, become the currency of competitiveness of individual, organisational and national strategy. Hamel (cited by Horton, 2000:309) supports this view that the real competition in the business world is the competition over competencies.

Horton (2000:306) maintains that the concept of competence can be traced back to the mediaeval guilds “in which apprentices learned skills by working with a master and were awarded credentials when they reached the standards of workmanship associated with and set by the trade.” Virtanen (2000:333) similarly points out that competences are mostly understood to be technical or instrumental rather than value-based. Whiddett (2000:5) also maintains that competence is an ability based on work tasks, or job outputs that has to do with the ability to perform. He further maintains that an ability based on behaviour can be referred to as competency.

Bhatta (2001:195) refers to competence as the term used to identify someone who is efficient and effective, or who has the ability to perform to a standard, but concludes that there are several “nuances” to this definition.

The various definitions of competence would indicate a focus on adequate qualification, or capability, defined as specific knowledge and skills to perform tasks to set standards, within the organisation’s environment.

2.3 COMPETENCY DEFINED

The researcher has observed that some authors, like Winterton (1999:25), refer to “a competence”, whereas others would use the term “a competency”. For consistency and to prevent confusion, in this thesis “a competence” is synonymous with “a competency”. Competence as a concept, as was discussed in the previous section, does not refer to “a competence”.

The previous section has dealt with the term competence as relating to someone being competent within a certain specific context. The question can then rightfully be asked whether this would be similar to showing competency in that context? For the purposes of this paper, the researcher would argue that competence and competency are not synonyms. Competence refers to the knowledge, skills and attributes needed to perform functions successfully, whereas a competency is made up of many things (knowledge, motives, skills, traits, attributes, attitudes, etc.) that are internalised and only become evident in the way somebody behaves while performing functions. It is, therefore, ability based on behaviour. This is in line with the argument of Meyer (1996) in the previous section that competence is the outcome of learning, leading to the development of competencies.

Woodruffe (cited by Winterton, 1999:27) supports this view by maintaining that there is a clear distinction between competence and competency. He refers to competence as aspects of the job that an individual can perform and competency as a person’s behaviour underpinning that person being competent. Mansfield (cited in Bhatta, 2001:195) similarly maintains that competency refers to specific behaviours and characteristics of a person that result in effective, or superior performance.

Hondeghem (2000:342) refers to the fact that the international literature on competency management is characterised by a huge diversity of definitions. So much so, that Van Sluijs and Kluytmans (cited in Hondeghem, 2000:342-343) developed a framework within which to classify the definition of

competency. They made a distinction between three groups of authors: the first group (e.g. Nordhaug and Gronhaug, 1994) regarded competencies as individual characteristics, (potential) knowledge and skills (qualifications and aptitudes) of staff. Competencies are labelled as SKAs (skills, knowledge and ability) that serve as a checklist for managers. This individual approach had a low added value, as it did not reach the organisational level. The disadvantage of the individual approach was addressed by a second group of authors that introduced the concept of core competencies (e.g. Gorter, 1994).

Core competencies are described as a combination of specific, integrated and applied SKA, which are essential to realise the strategic policy of the organisation. The third approach looks at competencies as a collective characteristic of an organisation (e.g. Lado and Wilson, 1994; Roos and Von Krogh, 1992). Within this context of organisational competencies, a sustainable competitive advantage is provided by a unique combination of SKA structures, management systems, technologies and procedures and personnel instruments. This last group in the main focused on competency management.

Boyatzis (1982:12) maintains that effective performance of a job is the attainment of specific results (i.e. the outcomes) required by the job through specific actions. Certain characteristics or abilities (competencies) of a person enable him or her to demonstrate the appropriate actions. The individual's competencies, therefore, represent the capabilities that he or she brings to the job situation and the requirements of the job can be considered to be the job's demands on the person.

All this occurs within the context of an organisation, which is determined by the internal organisational environment and the larger environment. The internal organisational environment is made up of internal structure and systems (policies and procedures), the direction (mission and purpose), organisational resources (physical, financial and technical resources) and organisational tradition and culture). The larger environment is made up of the

social and political community, industries and economic conditions (Boyatzis, 1982:12-13).

Baldwin (cited in Boyatzis, 1982:21) refers to the situation that when a person performs an act (demonstrates specific behaviour) that has a result or several results, it is also an expression of a characteristic or of several characteristics. Boyatzis (1982:12) refers to a job competency as an underlying characteristic of a person, which results in effective and/or superior performance in a job. He also maintains that, because job competencies are underlying characteristics, they can be said to be generic. Generic characteristics may also be apparent in many forms of behaviour, or a variety of actions.

Boyatzis (1982:22-23) therefore maintains that to define a competency, we must determine what the actions were, their place in a system, the sequence of behaviour and what the results or effects were, and what the intent or meaning of the actions and results were. He further maintains that a person's set of competencies reflect the person's capability, describing what the person can do and not necessarily what he or she does, nor does all the time regardless of the situation and setting. He also refers to a "threshold competency" comprised of the person's generic knowledge, motives, traits, self-image, social role, or skill – which is essential to performing a job, but is not causally related to superior job performance. He, therefore, maintains that a competency model should have two dimensions: one describing the types of competencies and the other the levels of each competency.

Hellriegel (1999:4) similarly defines competency as combinations of knowledge, skills, behaviours and attitudes that contribute to personal effectiveness, while Hayes (2000:96) concurs with the definitions provided by Woodruffe and Boyatzis above, while adding the definition provided by Albanese in 1989 that "managerial competency is a skill and/or personal characteristic."

Taking the above into consideration, competency therefore has to do with the ability to perform a task, through the integration of knowledge, skills and

abilities, which will lead to behaviour that is required to complete a task according to a predetermined and desired level of performance. This description of competency integrates two differing approaches to the concept, namely the attribute and the performance approaches.

In these two approaches in defining competencies, the **attribute approach** deduces underlying characteristics from behaviour. Competency is viewed as a personal trait, behaviour, skills and motive, which result in effective performance in order to complete a task. The **performance approach**, in comparison, defines competency in terms of predetermined performance standards. It, therefore, focuses on a demonstration of required behaviour related to job content through the application of knowledge and skills (Meyer, 1993:32-34 and Goldstein, 1993:62). The attribute approach to competencies focuses largely on the individual as a person, while the performance-based approach focuses on the demonstration of required behaviour, largely in the work context. Bhatta (2001:195) distinguishes between the two by stating that the behaviour-based approach refers to “how the manager reacts” and the performance-based approach to “what the manager is”.

Meyer (1999:39) further maintains that these competencies could be located on a continuum, with attribute definitions on the one extreme and performance definitions on the other. This would, however, exclude the notion of organisational core competencies, which is embedded in the organisation through its systems and processes and diffused throughout the organisation’s people, technology and structures.

It has become evident that the terms competence and competencies have been used interchangeably, creating some terminological confusion. Some authors, like Virtanen (2000:333), have chosen to rather distinguish competence from qualification, by defining competence “as an attribute of an employee referring to a kind of human capital or a human resource that can be transformed into productivity” and qualification as “requirements of a certain class of work tasks (a job)”. Rather than referring to competence areas, he refers to the structure of competences as an attribute of an

individual public manager, as “we are interested in competences mostly in relation to qualifications, because the competences of an employee should meet the demands of a job” (2000:334).

Bhatta (2001:195) maintains that competencies have the individual as unit of analysis. He also holds that behaviour-based competencies relate to how the manager acts and attribute-based competencies to what the manager is.

From the definitions provided in this and the previous sections, it is evident that competence and/or competency are essentially abstract concepts. The elements of any possible definition would then have to be “*integration of knowledge, skill and value orientation*”, “*behaviour in accordance with defined standards as an outcome*”, “*specific job content*” and the “*specific context*”.

Meyer (1996:34-36) holds that these elements are important in defining a competency. He states that it is integrative, views human behaviour as holistic and it is the integration of the components of a particular competency. It also has the three variables of knowledge, skill and value orientation that are measurable and can be influenced by those not trained as psychologists. Knowledge can be defined as “what we know, which has been internalised, and also comprises how we think and understand. Skills, by comparison, imply “doing” or the ability “to do”. Value orientation is an essential component of competency and performance, as it encompasses value systems, which extend beyond simply skills. A competency is only useful when it can be demonstrated or measured, which requires standards of performance and statements of parameters or context in which performance is required.

An adaptation of the definition put forward by Meyer (1999:34) could then be:

“Competency is the integration of knowledge, skill and value orientation, demonstrated to a defined standard, for a specific job, in a specific context.”

In the process of defining competencies, Meyer (1996:36) cautions that, whilst competence is generally demonstrated by performance, performance is a

broader concept and that competence does not necessarily result in satisfactory performance. Competence is a necessary, but not sufficient, condition for performance, as a competent individual will not perform to standard if he/she is not motivated and will also be unable to perform if the opportunity to perform is frustrated.

2.3.1 Conceptual structure of competency

In the previous section, it was indicated that competency should always be seen in a specific context and that it does not exist in a vacuum. This contextual dependence is emphasised by Critten (1993:18), who refers to competency as the ability to perform activities in an occupation or function to attain standards expected of the employee. It can thus be deduced that competency is contextually bound to prescribed standards of performance in a particular job.

Performance standards originate from two different but related organisational dimensions: (i) organisational core competence, being the aggregate of tangible and intangible things like the relevant occupational, technical, managerial and generic individual competencies of all employees, and (ii) organisational strategic competencies, which are supporting systems, technologies, processes and abilities necessary for mission achievement and the maintenance of the organisation's core competence (Meyer, 1993:60). This organisational core competence and organisational strategic competencies that make the organisation as a whole a productive entity also create a contextual framework for individual competencies.

Three different conceptual levels of competence were discussed in the preceding paragraphs, namely organisational core and strategic competence, as well as individual competence. These form part of a conceptual structure of competency, which is needed to identify and conceptualise different categories of competency, as well as driving forces of each.

Meyer (1993:50-71) identifies the categories as national, organisational and occupational competencies. According to him, **national core competence** refers to the clusters of competence that have developed around strategic industries in a country, underwritten by the national economic and development policies as driving forces.

Organisational core competency refers to the combination of individual technologies and production skills, which identify an organisation's myriad of product lines (Prahalad and Hamel, as cited by Meyer, 1993:59). This type of competency assists the managers to answer the fundamental question "What should we do?" It was stated above that Meyer (1993:60) argues that this organisational core competency is the aggregate of the occupational, technical and generic individual competencies of all the employees in the organisation, providing it with a competitive advantage. In the private sector this core competency (what has to be done) can lead to an organisation positioning and repositioning itself to maintain a more competitive market edge. In the public sector, however, the "what has to be done" is determined by legislative mandate from a competent legislature. The different driving forces are evident as larger profits, in the case of the former, and better service, in the case of the latter.

Organisational strategic competency forms part of the organisational category. As was stated above, this competency refers to the supporting systems, technologies, processes and abilities necessary for the achievement of the mission and the maintenance of the organisation's core competence. Meyer (1993:60-61) argues that, while core competencies distinguish one organisation from another, different organisations may possess similar strategic competencies. He further argues that strategic competence manifests itself in the occupational, vocational and managerial competencies of individuals and, in doing so, links the organisational strategy with individual competency identification. Both the organisational core and strategic competencies provide the capacity for implementing strategy and they influence all managerial practices including organisational design, systems

design, performance management, quality management and customer service (Meyer, 1993:71).

Occupational competencies are the competencies needed by an individual to be successful in a chosen occupation. In previous sections it was argued that this can be measured in terms of knowledge, skills and ability, which are directly associated with the individual performing the function. This should, however meet the prescribed requirements, as determined by the organisation, to be of value to the organisation. This category of competency can also be divided into either vocational or managerial competency, where **individual vocational competency** refers to subject matter directly related to a particular vocation, such as engineering or banking, in which an individual has to perform specific functions to a prescribed level of performance (Meyer, 1993:63). The driving force behind these would be individual career management.

In addition to the above competencies, Meyer (1993:65) also maintains that an individual would need individual competencies necessary to function in a modern economy, which are not linked to any particular occupation or profession. He refers to these as **metacompetencies**, which enable the individual to develop occupational competencies, as they reside within individuals; are not linked to an occupation or profession and therefore to any body of knowledge, set of skills or value orientation; and underpin the acquisition of occupational competencies that enable the individual to function effectively in an organisational or societal context.

Meyer (1993:66) synthesised the following list of broad abilities, which provide a basis for defining some of the competencies that are necessary for an effective manager:

- The ability to locate and interpret relevant information from written, electronic and people resources and apply it to solve complex, multidimensional problems using processes of analysis, synthesis and systemic thinking;

- The ability to communicate effectively with diverse groups of people and individuals on complex issues;
- The ability to apply scientific and mathematical concepts and use relevant technology effectively;
- The ability to operate effectively in multifunctional teams;
- The ability to use time effectively to manage a variety of tasks; and
- The ability to manage one's own, often multiple careers and balance occupational, family, community and other demands effectively.

Meyer maintains that behind all of these abilities are a host of competencies, which can be defined according to the circumstances in which they are applied. Meyer (1993:67-68) categorised these metacompetencies into three broad clusters:

- **Cognitive skills**

Various types of mental processes, conceptual reasoning abilities and "learning" competencies that deal with the capacity to deal with new knowledge, values, behavioural norms and concepts;

- **Relationship skills**

Managing internal, external and intra-unit interfaces;

- **Performance skills**

The ability to operationalise ideas and innovation, and to have an impact on the environment. To make things happen, including change management.

Just as there are conceptual levels of competencies, there are also certain characteristics of competencies that are uniformly highlighted by human resource practitioners. According to Pickett (cited by Bhatta, 2001:195), they must:

- Be related to realistic practices that are evident at the workplace;
- Be expressed as an outcome rather than a procedure or process;
- Be observable and assessable;

- Not contain evaluative statements, but instead be tied to performance criteria against which they will be assessed;
- Be sensible and specific and not subject to diverse interpretations; and
- Be transferable across organisations, industries and occupations.

In the preceding sections it was argued that competencies are contextually bound to prescribed standards of performance in a particular job, have specific conceptual levels and also specific characteristics. Mansfield (cited by Bhatta, 2001:195) asserts that there are four interrelated aspects of any job that are always present, albeit at different levels. They are:

- Technical expectations;
- Managing change;
- Managing different work activities; and
- Managing working relationships.

Virtanen (2000:333-336) maintains that competencies are not only technical or instrumental, but also have a value orientation. He argues that the public sector differs in this regard from the private sector, where political and ethical competencies, as value competencies, are vitally important. Competence areas should, therefore, include both value and instrumental competencies. According to Virtanen, there are five competence areas in which public managers should perform to be effective, namely:

- **Task competence**

The criterion for task competence is performance, as the goals and means are given and the task merely has to be accomplished. The value competence is motivation (why?) and the instrumental competence is abilities (how?). All competencies defined as skills, or behavioural techniques (e.g. communication and data analysis), belong to this level. Therefore, without task competence, nothing happens.

- **Professional competence in subject area**

The professional competence of the public manager is twofold. On the one hand, the manager has to be competent in either the substantive field of the line organisation (e.g. social security), or in the specific task field in the technostructure of the organisation (e.g. human resource management). The value competence is control of the policy area and the instrumental competence is know-how of the policy object of the particular field.

- **Professional competence in administration**

On the other hand, the manager has to be competent in administration, as distinguished from politics and policy. In this regard, administration is understood to be the execution of policy given by politicians. The value competence is control of the policy programme and the instrumental competence is the know-how of co-operation.

- **Political competence**

Political competence has to do with values and power, as the ideology and interests of a public manager set the value competence. Ideological beliefs and interests are partly determined by social background, also for those who are politically neutral. The instrumental competence is possession of power that is derived from the power of the office and official authority.

- **Ethical competence**

Ethical competence refers to conforming to moral values and moral norms that prevail in a culture. The value competence is morality and, as the prevailing conception is what is right and what is wrong, this refers to administrative morality. As the “right” morality, ethical competence refers to ethics proper – that is, it is not based on what is generally accepted but what is right. The instrumental competence is argumentation, a process of reasoning in terms of ethics. The criterion of ethical competence is justification and without ethical competence public managers do not use their political, professional or task competence in the right ways.

Hunt and Wallace (cited in Bhatta 2001:196) argue that certain competencies are present in all managers. They, therefore, developed the following set of competency clusters:

- Personal management;
- Strategic and change management;
- Leadership and team building;
- Problem solving;
- Administrative and operations management.

The above would indicate that there are definite skills, knowledge and competences needed by all managers to enable them to perform effectively in their work environments. It also indicates that there are certain definite skills and attributes that are present in all managers, irrespective of the specific job or work environment. How the individual utilises these will determine how effective and efficient he/she is in getting the job done.

Management is often defined as the process of getting the job done through and with the help of other people (Quinn *et al.*, 1990:84). The manager would need to manage the four interrelated aspects of the job, using the competencies required by the specific job, to complete the job to the required performance standard expected. Taking the competencies deliberated in this section into consideration, the question might well be asked whether managers and leaders are different kinds of people and therefore different competencies apply?

2.3.2 Managerial versus leadership competency

The term manager refers to a person who plans, organises, directs and controls the allocation of human, material, financial and information resources in pursuit of the organisation's goals (Hellriegel, 1999:7). He further maintains that, irrespective of their functional areas, what all managers have in common

is responsibility for the efforts of a group of people who share a goal and access to resources that the group can use in pursuing its goal.

Hooper (2001:59), also suggests that management is about planning, organising and controlling, which implies handling financial and material resources, as well as people, while leadership is about setting direction, aligning people – and motivating and inspiring them. Leadership, according to Hooper, is therefore purely about people. Hooper maintains that management is about control, predictability and short-term results, compared to leadership being about unlocking human potential and working towards a more visionary future. He maintains that leadership is therefore emotional.

Pollitt and Bouckaert (2000:9) similarly maintain that management is about getting things done as quickly, cheaply and effectively as possible – and usually about getting things done through other people (staff, the work force, personnel, human resources).

Zaleznik (1992:61) is of the opinion that managers and leaders are two very different types of people. According to him, managers' goals arise out of necessities rather than desires. They excel at diffusing conflicts between individuals or departments, placating all sides while at the same time ensuring that the day-to-day business of the organisation still gets done. They are problem solvers. Leaders, on the other hand, adopt personal and active attitudes towards goals and look for the potential opportunities and rewards. They inspire subordinates and stimulate creativeness through their own energy.

This would, it seems, imply a binary situation in which one finds the qualities of one or the other type, but not of both at the same time in the same person? The question could then rightfully be asked whether, if this argument were accepted, there would be competencies only applicable to managers and competencies only applicable to leaders?

Research undertaken by Kotter (1992:97) shows that changes in executive behaviour were needed to help create the emergence of more adaptive performance-enhancing cultures in organisations. He maintains that the establishment of a strong leadership process to supplement, not replace, a management process is needed.

Kotter (1992:98) provides a brief distinction between management and leadership in **Table 2.1**.

Table 2.1: The difference between management and leadership

Management	Leadership
Planning and budgeting	Establishing direction
Organising and staffing	Aligning people
Controlling and problem solving	Motivating and inspiring
Produces a degree of predictability and order	Produces change, often to a dramatic degree

Kotter (1992:98)

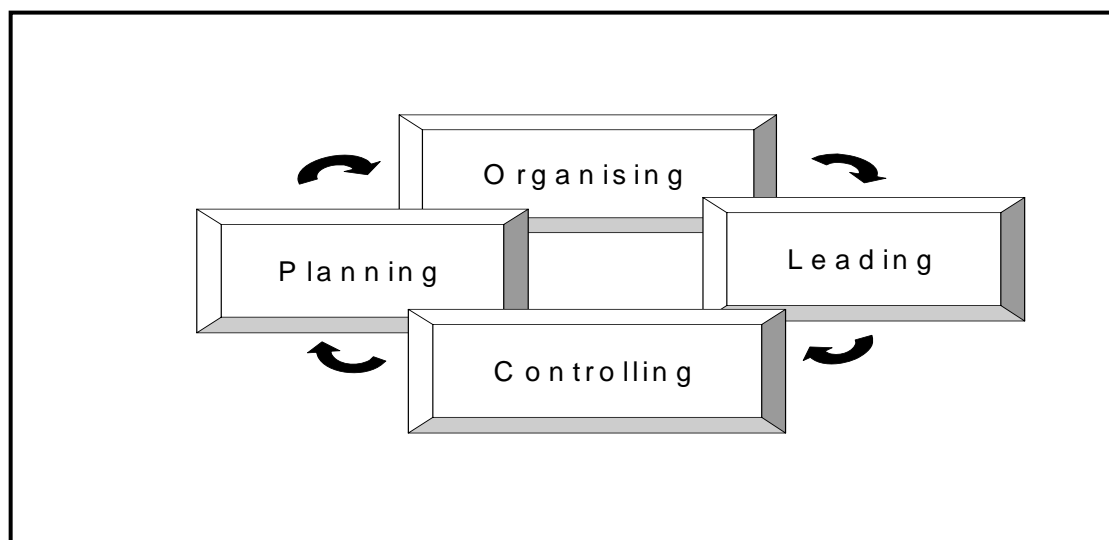
If this research of Kotter (1982) is analysed, it is obvious that the two are not mutually exclusive. It would therefore not be a case of being either a manager or a leader but of being both a leader and a manager, to a lesser or larger degree.

Although most authors maintain that the basic managerial functions are about planning, organising and controlling, Hellriegel (1999:10) maintains that the successful and efficient manager is capable of performing four basic managerial functions, namely planning, organising, controlling and leading, as depicted in **Figure 2.1**.

Hellriegel (1999:10-11) describes these basic managerial functions as follows:

- **Planning** - Defining organisational goals and proposed ways to reach them, to establish the overall direction of the organisation, to identify and commit the organisation's resources to achieving the goals and to decide which tasks need to be done to reach the goals. The leadership function of a manager is therefore also evident in this function.
- **Organising** - The process of creating a structure of relationships that will enable employees to carry out management's plans to meet the goals of the organisation. It is also evident that a manager has to play a leadership role to give effect to this.
- **Controlling** - The process by which a person, or group, or organisation consciously monitors performance and takes corrective action.
- **Leading** - This involves communicating with, and motivating, others to perform the tasks necessary to achieve the goals of the organisation. Hellriegel (1999:11) maintains that leading is a crucial element of planning and organising and does not start after those processes have ended.

Figure 2.1 Basic managerial functions



(Hellriegel, 1999:5).

Hellriegel (1999:11), therefore, adds leading as an additional function to the basic managerial functions put forward by previous authors. It can therefore be deduced that leading is not separate from the functions that have to be

performed by all managers. If this is accepted, then being a leader, or fulfilling the function of leadership, should be part of the make-up of all managers.

Hellriegel (1999:11) also maintains that leading is not done after planning and organising takes place, but that it is an integral part of those functions. Leading, therefore, means taking action to enable others to achieve goals. If it is accepted that leadership (or leading) has an emotional (humanistic) side, as was suggested above, then leading (or leadership) should be an essential element of every manager's make-up to be an effective manager.

This thinking is supported by Mintzberg (1975), Quinn *et al.* (1990) and Mintzberg (2000), who maintain that leadership is one of the roles a manager has to perform.

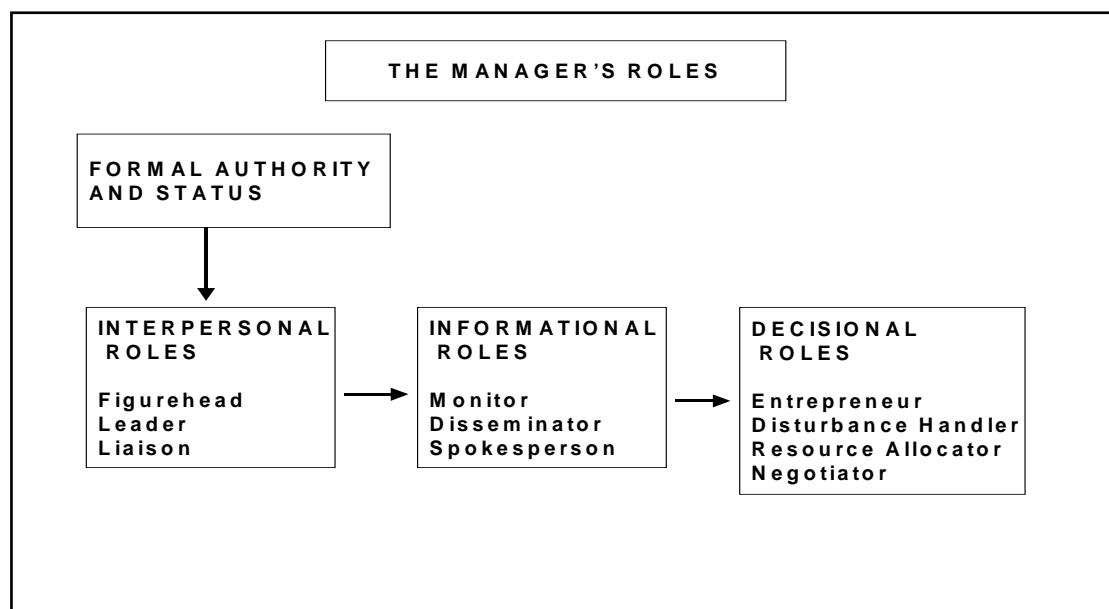
Similarly, Boyatzis (1982:16-17) also refers to a manager as someone who gets things done through other people and the results of the manager's actions can therefore be linked to the performance of an organisational unit. He maintains that management job demands may be described in terms of:

- **Output** – the quality and quantity;
- **General functional requirements** – planning, organising, controlling, motivating and coordinating (which would include in more specific terms selecting staff, delegating responsibility, establishing goals, making decisions, reviewing performance, rewarding subordinates or disciplining subordinates);
- **Tasks that the manager is to perform** – the marketing manager, for example, is expected to plan, design and coordinate a new marketing campaign; and
- **Various roles** – administrative role, responsibility for “line” functions, integrative role with responsibility for “staff” functions, representative role with responsibility for an “interface” among organisations or organisational units.

Boyatzis (1982:18) maintains that, although a manager may have a job that calls for only one of these roles mentioned, a management job usually calls for a constellation or integration of various roles.

Mintzberg (1975:12) in turn defines a manager as that person in charge of an organisation, or a sub-unit of it, and also maintains that the manager's job can be described in terms of various "roles", or organised sets of behaviours identified with a position (1975:13). Mintzberg identified ten roles a manager fulfils, depicted in **Figure 2.2**.

Figure 2.2 The ten roles of a manager



(Mintzberg, 1975:12)

According to Mintzberg (1975:12-21), formal authority and status give rise to three interpersonal roles, three informational roles and four decisional roles.

Mintzberg (1975: 13-15) maintains that three of the manager's roles arise directly from formal authority and involve basic interpersonal relationships. He describes the **interpersonal roles** as:

- **Figurehead** – As the head of the organisation or unit, the manager must perform certain ceremonial duties, like taking a customer to lunch and acknowledgement of outstanding performance;

- **Leader** – The manager is responsible for the work of the people in the unit and some of the actions involve leadership directly, like hiring and training of the organisation's own staff. In addition, there is also the indirect exercise of the leader role, where the manager must encourage and motivate employees, somehow reconciling their individual needs with the goals of the organisation;
- **Liaison** – The manager also makes contacts outside of the vertical chain of command. According to Mintzberg (1975:14), research has shown that managers spend as much time in contact with peers and other people outside their units as they do with their own subordinates.

According to Mintzberg (1975:16), the manager emerges as the nerve centre of the organisational unit, by virtue of interpersonal contacts, both with subordinates and a network of contacts. The manager may not know everything, but typically knows more than the subordinates. Mintzberg (1975:16-18) maintains that the manager has access to every staff member, as well as external information to which subordinates often lack access. This gives rise to three **informational roles**, which he describes as:

- **Monitor** – In this role, the manager is constantly scanning the environment for information, interrogating liaison contacts and subordinates, and receiving unsolicited information, much of it as a result of the network of personal contacts, According to Mintzberg (1975:16), a good part of this information arrives in verbal form as gossip and speculation;
- **Disseminator** – In this role, the manager passes some privileged information directly on to subordinates, who would otherwise have no access to it;
- **Spokesperson** – In this role, the manager sends some information to people outside the unit – a foreman suggests a product modification to a supplier, or the president makes a speech to lobby for an organisation's cause.

Mintzberg (1975:18) stresses that information is the basic input to decision making. The manager, as the formal authority of the organisational unit, plays a major role in the unit's decision-making system. As its nerve centre, only the manager has full and current information to make the set of decisions that determines the unit's strategy. Mintzberg (1975:18-21) put forward four roles that describe the manager as a decision maker.

Mintzberg (1975:21) describes these four **decisional roles** as:

- **Entrepreneur** – The manager seeks to improve the unit, to adapt it to changing conditions in the environment. In this role, the manager is constantly on the lookout for new ideas;
- **Disturbance handler** – In the previous role the manager is the voluntary initiator of change, while in this role the manager is involuntarily responding to pressures that are beyond his or her control;
- **Resource Allocator** – The manager is responsible for deciding who will get what. The manager is charged with deciding how work is to be divided and coordinated and must also consider the impact of each decision on other decisions and on the organisation's strategy.
- **Negotiator** – The manager spends considerable time in negotiations, which is an integral part of the manager's job, as only he or she has the authority to commit organisational resources in "real time" and the nerve-centre information that important negotiations require.

The different roles put forward by Mintzberg (1975) are not that dissimilar to the basic managerial functions put forward by Hellriegel (1999), who adds leading (from a humanistic perspective).

According to Mintzberg (1975:21), these ten roles are not easily separable, as they form an integrated whole. This is similar to the theory put forward by

Boyatzis (1982) in the previous section that a management job usually calls for a constellation, or integration, of various roles.

Mintzberg has since 1993 started to build on his previous work, by developing a conceptual model of public management and testing it in three federal public organisations in Canada (Charih, 2000:140). He observed how managers from different backgrounds and various ranks in Parks Canada, the Royal Canadian Mounted Police and the Department of Justice organised their time to test the model that would identify to what extent “managing is managing” regardless of the circumstances, underscore the specificity of certain components of the managerial role in the public sector and depict the specific context of public management as the sectors move towards convergence (Bourgault, 2000:8).

From these observations, Mintzberg (2000) identified three models of public management: the “Managing on the Edges Model” (Parks Canada), the “Cultural Management Model” (Royal Canadian Mounted Police) and the “Policy Management Model” (Department of Justice).

Bourgault (2000:6) describes how Mintzberg synthesised his observations into an integrative model that showed how a manager develops a “job frame”, which is the central point of a series of concentric circles of roles (Bourgault, 2000:7). At the centre in the core sits the person who brings to the job a set of values, experience, knowledge, mental models and competencies. The manager has two roles to play, namely **conceiving** (the frame) and **scheduling** (the agenda). Thomas (2000:152) maintains that the core – or frame of the job – includes the purpose of the job, a particular perspective on what needs to be done and specific strategic positions for doing it.

This core is surrounded by concentric circles that represent three levels through which managerial work can take place within the unit, in the rest of the organisation and outside of the organisation. The manager has to show the necessary competencies on all these levels. The first level nearest to the core, the **information level**, is the most abstract level, where the manager

has to play the roles of **controlling** and **communicating**. The second level is the **people level**, where the manager has to play the roles of **leading** on the individual, team and unit levels, and **linking** the internal world with the external community. The third level, the most dynamic level, is the **action level**, where the manager has to play the roles of **doing**, by his/her own involvement in action and **dealing** by negotiating deals with players external to their units (Mintzberg, 2000:18-21).

Mintzberg (2000:17) maintains that the manager's own activities, in the first level of **managing by information**, focuses on neither people nor on action per se, but rather on information as an indirect way of making things happen. The **controlling** (internal) role describes the manager's efforts to use information in a directive way – to control people's behaviour, the designing structure of their units and to impose directives on the work their units perform (Mintzberg, 2000:20). He also maintains that **communicating** (external role), refers to the collection and dissemination of information, and that obtaining oral and non-verbal information forms a critical part of the manager's job (Mintzberg, 2000:19).

On the second level of activities, Mintzberg (2000:22) maintains that by **managing through people**, the manager is a leader. The manager is **leading** (internal) on the individual level (one-on-one), on the group level (building and managing teams) and on the unit levels the creation and maintenance of culture. The manager is also **linking** the unit to contacts outside of the organisation (networking externally) to obtain information and in the process is the "gatekeeper" of influence (Mintzberg, 2000:23).

Mintzberg (2000:24) maintains that, on the third level of activities, the manager is **managing by action**. This entails **doing** the job himself or herself, or getting someone else internal to do it (Bourgault, 2000:7). "Doing" means getting closer to the action – to make it happen or to get it done. **Dealing**, on the other hand (Mintzberg, 2000:25), takes place in terms of deals and negotiations outside the unit, to get the job done.

The case studies used by Mintzberg (2000) to test whether the roles played by a manager (leader) is in line with his conceptual model, but were very limited. Without intending to detract from Mintzberg's stature in this field of research, the researcher is therefore of the opinion that it is questionable whether the roles of a public manager and the needed competencies he is now putting forward are really that universally applicable.

Mintzberg (2000) observed selected levels of public managers in only three organisations in Canada, namely Parks Canada, the Royal Canadian Mounted Police and the Federal Department of Justice – all on a federal (national) level and accordingly redefined the supposed roles, or levels of activity of a manager, according to these observations.

The researcher is of the opinion that the functions of these types of organisations, by their very nature, are of an extremely regulatory nature, given their specific fields of activity. This aspect, according to the researcher, places a definite question around a model developed for all managers in the public sector generically, on the basis of observations made on a select few managers on a federal level in one country and, presumably, very restricted and regulatory functions. Keefe (2003) also refers to the situation that each provincial government in Canada develops its own specific competencies and maintains that this does not necessarily link with the competencies developed on a federal level, which are quite different.

Zussman and Smith (2000:125) appear to concur with this view, as they state that the case studies “may not reflect the day-to-day life of all public managers”. Charih (2000:139) also appears to concur, by stating that Mintzberg's study is a first step in the right direction in that it opens the door to systematic research on a management model specific to the public sector, and more specifically, in a parliamentary public administration. He also maintains that the study paves the way for research on comparisons between the public and the private sector and on the roles of public managers in different contexts (2000:140).

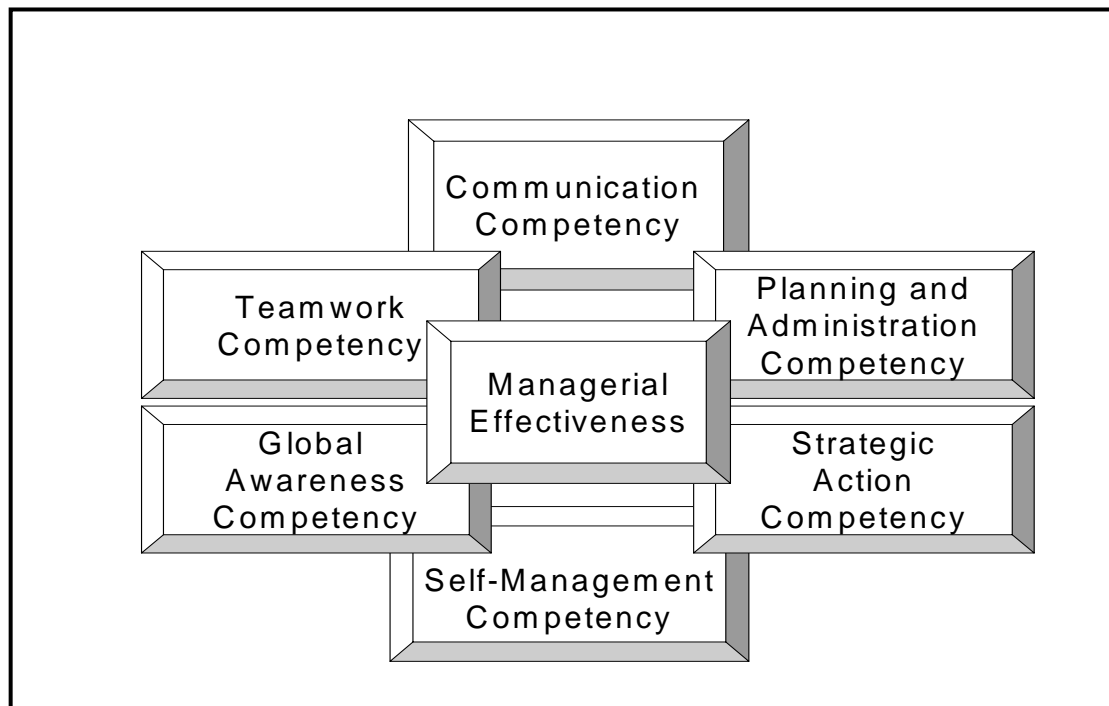
Thomas (2000:147) states that core managerial activities like planning, deciding, budgeting and human resources management could be conducted the same way in all organisations. This is especially true in a developmental government, like that experienced in South Africa, let alone other developed or underdeveloped regions of the world.

Zussman and Smith (2000:132-133) further stress that what is really required is to install and develop new management competencies such as leadership, communication, strategy, vision, ethical standards, accountability, citizen engagement, integrity and character. They further maintain that the competencies needed by a manager can be rearranged in Mintzberg's model of managerial work through the job frame as embodying in strategy, vision and ethical standards, communication, accountability and citizen engagement, leadership and ethical standards, and action embracing integrity and character. They also maintain that these elements are increasingly a management requirement. Thomas (2000:153) also questions whether leadership and management are seen as synonymous in Mintzberg's new model.

Flowing from his managerial functions discussed earlier, where leading was added to the basic managerial functions of organising, planning and controlling, Hellriegel (1999) put forward a model that distinguishes six key managerial competencies. These competencies are depicted in **Figure 2.3**, which he maintains lead to managerial effectiveness.

Hellriegel (1999:5) describes these key managerial competencies as communication competency, planning and administration competency, strategic action competency, self-management competency, global awareness competency and teamwork competency. The definition of competency as referring to a combination of knowledge, skills, behaviours and attitudes that contribute to personal effectiveness, as put forward earlier by Hellriegel (1999), has to be taken into account when interpreting this model.

Figure 2.3 A model of managerial competencies



(Hellriegel, 1999:5)

The various managerial competencies put forward in this model, with their respective dimensions, are individually described as:

Communication competency

Hellriegel (1999:17) maintains that this competency entails the effective transfer and exchange of information that leads to understanding.

The dimensions of this competency (Hellriegel, 1999:19) are:

- **Informal communication** – Promote two-way communication by soliciting feedback, listening, seeking out contrary opinions, is flexible and varies approach in different situations, builds strong interpersonal relationships with a diverse range of people by showing sensitivity to diverse needs, opinions and feelings and is tolerant;
- **Formal communication** – Inform people and keep them up to date with relevant events and activities, make persuasive public

presentations, handle questions well and write clearly, concisely and effectively

- **Negotiation** – Negotiate effectively on behalf of the team over roles and resources; is comfortable with the power of the managerial role; is skilled at developing relationships and exercising influence upwards with superiors, laterally with peers, downwards with subordinates, as well as externally with customers, suppliers and stakeholders; and take decisive and fair actions when handling problem subordinates.

Planning and administration competency

Hellriegel (1999:19-20) maintains that this competency entails deciding what tasks need to be done, determining how they need to be done, allocating resources to enable them to be done and to monitor progress to ensure that they are done.

The dimensions of this competency (Hellriegel, 1999:21) are:

- **Information gathering, analysis and problem solving** – Monitor information and use it to identify symptoms, underlying problems and alternative solutions; make timely decisions; and take calculated risks and anticipate consequences;
- **Planning and organising projects** – Develop plans and schedules to achieve goals; assign priorities to tasks; determine and obtain the resources necessary to achieve goals; and delegate responsibility for task completion;
- **Time management** – Handle several projects and issues at one time; keep to schedule or negotiates changes; and work effectively under time pressure;
- **Budgeting and financial management** – Understand budgets, cash flows and financial reports; keep accurate and complete financial records; and create budgetary guidelines for others.

Teamwork competency

This entails accomplishing outcomes through small groups of people who are collectively responsible and whose work is interdependent, according to Hellriegel (1999:20-21).

The dimensions of this competency (Hellriegel (1999:22), are:

- **Designing teams** – Formulate clear objectives that inspire the team; appropriately staff the teams; define responsibilities for the team; and create systems for monitoring team performance;
- **Create a supportive environment** – Create an environment characterised by empowerment; assist the team in identifying resources needed; and act as coach, counsellor and mentor;
- **Managing team dynamics** – Understand the strengths and weaknesses of team members; and bring conflict and dissent into the open.

Strategic action competency

Hellriegel (1999:23) maintains that this competency entails understanding the overall mission and values of the organisation and ensuring that actions taken by a unit are aligned with the mission and values of the organisation.

The dimensions of this competency (Hellriegel, 1999:24) are:

- **Understanding the industry** – Remain informed of actions of competitors and business partners; analyse general trends and the implications for the future; and quickly recognise when changes create significant threats and opportunities;
- **Understanding the organisation** – Understand and balance the concerns of stakeholders; understand the strengths and limitations of various organisational strategies; understand the distinctive competencies of the organisation; understand various organisational structures and the advantages and disadvantages of each; and understand the unique corporate culture of the organisation and be able to fit in;

- **Taking strategic actions** – Assign priorities and make decisions that are consistent with the organisation's mission and strategic goals; recognise the management challenges of alternative strategies and address them systematically; establish tactical and operational goals that facilitate strategy implementation; and consider the long-term implications of actions in order to sustain and further develop the organisation.

Self-management competency

Hellriegel (1999:25) states that this competency entails taking responsibility for the life at work and beyond that.

The dimensions of this competency (Hellriegel, 1999:24) are:

- **Integrity and ethical conduct** – Clear personal standards that form the basis for maintaining a sense of integrity and ethical conduct; honourable and steadfast; willing to admit mistakes; and accepts responsibility for own actions;
- **Personal drive and resilience** – Seek responsibility and is willing to take risks and innovate; ambitious and motivated to achieve objectives; and show perseverance in the face of obstacles;
- **Balancing work and life issues** – Strike a reasonable balance between work and other life activities; and take good care of the self, mentally and physically;
- **Self-awareness and development** – Having clear personal and career goals and knowledge of one's own values, feelings and areas of strengths and weaknesses; and an acceptance of responsibility for continuous long-term self-development and learning.

Global awareness

According to Hellriegel (1999:23), this competency entails performing managerial work for an organisation that utilises human, financial, information and material resources from multiple countries and serves markets that span

multiple cultures. Although the South African SMS member would not fall into this category, the South African civil service is currently undergoing transformation on a large scale that will also involve managers having to integrate various cultures into their organisational units.

The dimensions of this competency put forward by Hellriegel (1999:25) are of a cultural nature and therefore also applicable. They are:

- **Cultural knowledge and understanding** – Remain informed of political, social and economic trends and events around the world; recognise the impact of global events on the organisation; travel regularly to gain first-hand knowledge of clients; understands, reads and speaks more than one language fluently; has a basic business vocabulary in each language relevant to his/her own job;
- **Cultural openness and sensitivity** – Understand the nature of national, ethnic and cultural differences and be open to examining these differences honestly and objectively; be sensitive to cultural cues and be able to adapt quickly in novel situations; recognise that there is great variation within any culture and avoid stereotyping; appropriately adjust one's own behaviour when interacting with people from various national, ethnic and cultural backgrounds; understand how one's own cultural background affects one's own attitudes and behaviour; and can emphasise and see from different perspectives, while still being secure in him/herself and able to act with confidence.

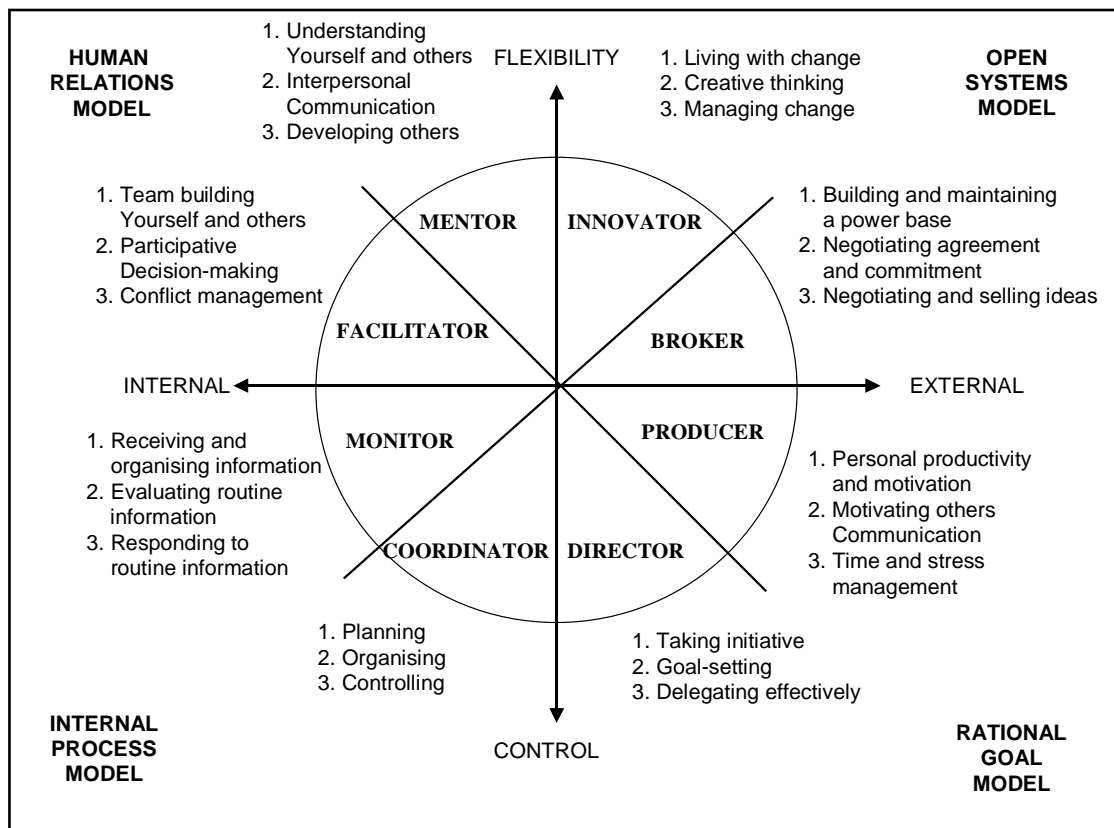
Similar to Mintzberg's initial work, Quinn *et al.* (1990:15) also maintain that a manager has various roles to fulfil. He developed the Competing Values Framework, set out in **Figure 2.4**, with the focus on leadership effectiveness rather than organisational or work-unit effectiveness. The framework specifies eight competing roles or expectations that might be experienced by a manager and the various competencies needed for each role.

The framework developed by Quinn (1990:8) takes account of the four major management models that evolved through the course of the first three

quarters of the twentieth century, the Rational Goal Model, the Internal Process Model, the Human Relations Model and the Open Systems Model. In this regard he drew on the work of Mirvis (cited in Quinn *et al.*, 1990:3-11).

In the framework each of these models has a perceptual opposite. The Human Relations Model, defined by flexibility and internal focus (people are inherently valued), stands in stark contrast to the Rational Goal Model, which is defined by control and external focus (people are of value only if they contribute greatly to goal attainment). The Open Systems Model, defined by flexibility and external focus (adapting to the continuous changes in the environment) runs counter to the Internal Process Model, defined by control and internal focus (maintaining stability and continuity inside the system) (Quinn *et al.*, 1990:11).

Figure 2.4 The leadership roles of a manager, with accompanying competencies, in the Competing Values Framework



(Quinn *et al.*, 1990:15)

The criteria within the four models seem at first to carry conflicting messages. We want organisations to be adaptable and flexible, but we also want them to be stable and controlled. We want growth, resource acquisition and external support, but we also want tight information management and formal communication. We want an emphasis on the value of human resources, but we also want an emphasis on planning and goal setting (Quinn *et al.*, 1990:12-13).

Quinn *et al.* (1990:14) stress that the framework does not suggest that the oppositions cannot mutually exist in a real organisation, but merely that they are mutually exclusive in the human mind that tends to think about them as mutually exclusive. Someone taking on a position of leadership (manager) will have to operate effectively in all areas of the competing values framework, which would entail behavioural competencies in each of the four quadrants. Quinn *et al.* (1990:82), however, further stress that a role should not be applied to all situations and that a role is neither right nor wrong/neither bad nor good – it is about appropriateness in a specific situation.

Belasen (2000:33), who also used this model developed by Quinn *et al.* (1990) to research organisational learning, maintains that the Competing Values Framework (CVF) can be viewed as both mutually exclusive (i.e. differentiated) and collectively exhaustive (i.e. integrated). He maintains that, alone and together, each role subscribes to the need to balance its “time in use” or emphasis against the range of requirements coming from the other roles. For example, he maintains that, despite the fact that in playing the role of Director, the manager is assumed to have task orientation, some aspects of facilitation or even mentoring (involving the two roles at the polar opposite in the CVF) must also be manifested in the behaviour of the manager to achieve effective leadership.

The framework describes eight competing leadership roles managers have to fulfil in organisations, with specific competencies embedded in each role (Quinn *et al.*, 1990:14). The different roles are those of director, producer,

coordinator, monitor, mentor, facilitator, innovator and broker. The various roles with their respective specific competencies put forward by Quinn *et al.* (1990) can be described as follows:

Director role

In the role of director, the manager is expected to clarify expectations through processes such as planning and goal setting, to be a decisive initiator who defines problems, selects alternatives, establishes objectives, defines roles and tasks, generates rules and policies, and gives instructions (Quinn *et al.*, 1990:15).

According to Quinn *et al.* (1990:25-53), the core competencies of the director role, are:

- **Taking initiative** – catalysing action, taking charge, being decisive, shooting from the hip (this “act now, think later” competency competes with the competency of deliberate, rational, logical problem solving also needed from a director role);
- **Goal setting** – setting clear, challenging and yet attainable direction and vision (on senior management level this would be more strategic/directional, compared to middle management and supervisory levels being more tactical);
- **Delegating effectively** – the ability and willingness to delegate effectively provides more strategic time to managers and is the key to training and development of subordinates.

Producer role

Quinn *et al.* (1990:54) state that, in the role of producer, the manager is expected to be task oriented, work focused and highly interested in the task at hand. The manager as producer is also expected to exhibit high degrees of motivation, energy and personal drive.

The core competencies of the producer role, according to Quinn *et al.* (1990:54-83), are:

- **Personal productivity and motivation** – The overall pattern of traits or attributes that result in personal peak performance (PPP). Quinn *et al.* (1990:56-60) describe these as Commitment (high levels of), Challenge (consistent search for opportunities to “stretch” goals), Purpose (need to know the answers, but also to agree with the answers), Control (need enough discretion to exercise their judgement), Transcendence (a drive to transcend previous performance levels) and Balance (a sense of perception of the “health” of the total being);
- **Motivating others** – Keep people excited about their jobs (as, according to Quinn *et al.* (1990:62), they usually join an organisation to pursue own goals);
- **Time and stress management** – knowing how to leverage your time across high payoff activities, being proactive in assisting the unit to maximise positive stress and minimise negative stress.

Coordinator role

Quinn *et al.* (1990:84) maintain that in the role of coordinator the manager’s task is to ensure that work flows smoothly and that activities are carried out with the minimum amount of conflict, according to their relative importance. The coordinator must ensure that the right people are at the right place, at the right time, to perform the right task, with the right physical materials in place.

Quinn *et al.* (1990:85-117) put forward the following core competencies of the coordinator role:

- **Planning** – In addition to strategic planning and tactical planning dealt with above, Quinn *et al.* (1990:86) maintain that operational planning is needed to indicate how objectives will be accomplished. Operational planning involves preparing and maintaining the work flow of the system – deciding how financial, material and human resources should be used to ensure the most cost-effective delivery of services. It translates the future into the present by providing a detailed map of how to get “from here to there”; it provides a mechanism for setting

standards and clarifying what needs to be done; and it clarifies workunits and organisational priorities;

- **Organising** – The process of dividing the work into manageable components and assigning activities to most effectively achieve the desired results. At the organisational level, it involves designing the organisational structure so that the work can be allocated effectively and efficiently (Quinn, *et al.* 1990:96). It clarifies who is supposed to perform which jobs and how the jobs are to be divided among organisational members; it clarifies the lines of authority; and it creates the mechanisms for coordinating across the different groups and levels within the organisation (Quinn *et al.*, 1990:97);
- **Controlling** – Although the coordinator uses control as a mechanism that provides feedback on whether the planned goals have been met (actual performance is consistent with planned performance), it is also a process for analysing discrepancies between planned and actual performance, so that future plans and processes can be modified to better meet the organisational needs.

Monitor role

Quinn *et al.* (1990:123) maintain that the manager is responsible for knowing what is actually going on in a work unit through the role of monitor. The manager must be able to keep track of the facts, analyse them and have a clear sense of what is of more immediate important and what can be done later.

Quinn *et al.* (1990:123-163) describe the core competencies of the monitor role as being:

- **Reducing information overload** – Quinn *et al.* (1990:124) maintain that the challenge is not about gathering more information, but rather doing a better job of sorting, delimiting and retrieving information and, consequently, most discussions around time management concern paper management. The issue is therefore tracking and transmitting of information;

- **Analysing information with critical thinking** – Critical thinking is usually associated with the attributes of objectivity, balance, openness to new information and a methodical or careful manner in studying problems before making decisions (Quinn *et al.*, 1990:138). The critical thinker is also working on doing things better, and on solving problems more efficiently and accurately (Quinn *et al.*, 1990:140);
- **Presenting information and writing effectively** – Quinn *et al.* (1990:153) refer to the difficulties of writing bureaucratic documents, as it is not always possible to identify the “audience” other than the file into which a document is put. There is also a lot of ghost writing in organisations, as documents have to be signed off along the line by others who are looking for different things in a document.

Mentor role

Quinn *et al.* (1990:166) states that, in the role of mentor, the manager reflects a caring, empathic orientation. In this role the manager is expected to be helpful, considerate, sensitive, approachable, open and fair. In acting this role, the leader listens, supports legitimate requests, conveys appreciation and gives recognition. Employees are to be understood, valued and developed.

The core competencies of the Mentor role, according to Quinn *et al.* (1990:167-195), are:

- **Understanding yourself and others** – Although all members of a work group have commonalities, the individual members are also unique and the challenge will therefore be to understand both the commonalities and the differences, and how these cause people to relate to one another in various ways (Quinn *et al.*, 1990:168);
- **Interpersonal communication** – Quinn *et al.* (1990:177) are of the opinion that this is probably the most important and least understood of all competencies. Communication is the exchange of information, facts, ideas and meaning. The communication process

can be used to inform, coordinate and motivate people. The competency relates to knowing when and how to share information;

- **Developing subordinates** – While the previous two competencies did much to focus on the building of trust, coaching refers to the notion of developing people by providing performance evaluation and feedback (Quinn *et al.*, 1990:187). Feedback also entails providing information on improvement, growth and development.

Facilitator role

Quinn *et al.* (1990:197) maintain, that, in the role of facilitator, the manager fosters collective effort, builds cohesion and morale, and manages interpersonal conflict. Some of the same competencies as those of the mentor are used, such as listening and being empathetic and sensitive to the needs of others. The role of facilitator, however, centres on the manager's work with groups.

Quinn *et al.* (1990:197-236) put forward the following core competencies of the facilitator role:

- **Team building** – Individual needs are to be balanced with individual needs in order to create and maintain a positive climate in the work group (Quinn *et al.*, 1990:197);
- **Participative decision making** – Similar to citizens making an input into decisions affecting their lives in the concept of democracy, important decisions at work should involve those individuals whose work lives are affected by the decision outcome (Quinn *et al.*, 1990:211). Managers need to be aware of when it is appropriate to involve employees and when not. Participative decision-making is not a single technique that can be universally applied to all situations and managers can involve employees in making decisions in a variety of ways;
- **Conflict management** – According to research done by Lippitt (cited in Quinn *et al.* 1990:223), managers spend between 20 and 50% of their time dealing with conflict. Quinn *et al.* (1990:223) also

maintain that conflict is not always negative, as constructive use of conflict keeps us from falling into the groupthink mode of decision-making.

Innovator role

According to Quinn *et al.* (1990:237), the manager in the role of innovator is provided with the unique opportunity to affirm the value of individual employees within the organisation, through the use of creativity and the management of organisational changes and transitions. Quinn *et al.* (1990:238) further maintain that innovation and managed change make readiness and adaptability possible in society's increasingly changing conditions and demands.

The core competencies of the innovator role, according to Quinn *et al.* (1990:238-261), are:

- **Living with change** – One of the greatest challenges to a manager is living with changes that are unplanned and sometimes unwelcome, because planned changes often involve a sense of gain. Quinn *et al.* (1990:239) maintain that the manager often has to deal with unplanned changes on two levels – to adjust personally to the change that he/she does not welcome and also to present the change to the employees in a manner that helps them to make the adjustments as well. Both may require a shift in attitude towards change and a conscious effort to eliminate psychological resistance to change;
- **Creative thinking** – Quinn *et al.* (1990:249) state that creative thinking is a way of thinking that involves the generation of new ideas and solutions. It is the process of integrating new things or ideas into new combinations and relationships. Quinn *et al.* (1990:250) compare critical thinking that concerns analytical, logical skills and produces few answers to creative thinking, which is imaginative, provocative and generates a wide variety of ideas. He also maintains that the two are complementary – the findings of the

creative thinking process can be analysed for usefulness by critical thinking;

- **Managing change** – Changes are necessary in order to accomplish goals and objectives – these are therefore planned changes and adjustments to fulfil the mission of the organisation more effectively (Quinn *et al.*, 1990:260).

Broker role

In the role of broker the manager is the person who presents and negotiates the ideas put forward by the innovator (Quinn *et al.*, 1990:272).

According to Quinn *et al.* (1990:272-305), the core competencies of the broker role are:

- **Building and maintaining a power base** – Quinn *et al.* (1990:276) maintain that power, like energy, is neither good nor bad - it is tempting. He also maintains that power is necessary in using resources to meet goals and get things done and that the moral or immoral use of power is the product of motives, decisions and thinking – not the fault of power itself. Part of a manager's job is to effectively and appropriately build a base of legitimacy, information and influence. Managers who have no power base are therefore not doing their jobs;
- **Negotiating agreement and commitment** – Quinn *et al.* (1990:288) state that amateur brokers believe that their assigned duties guarantee them support, but that the expert broker never takes such support for granted. He maintains that all employees have a credit rating that goes up or down, depending on how supportive, cooperative and competent people perceive them to be. The expert brokers have a clear sense of what their own needs are, but also know that the people they deal with also have needs of their own.
- **Presenting ideas and effective oral presentations** – According to Quinn *et al.* (1990:300), public speaking is the number one phobia

of all people, but for most there is no way around this requirement, as most work is done in groups and hence communication is vital to every role played by a manager.

A comparison of the research discussed in this section shows that all the authors referred to in this section have dealt with basically the same issues, but referred to them differently.

Mintzberg (1975:12) defines three types of interpersonal roles (figurehead, leader and liaison), three informational roles (monitor, disseminator and spokesperson) and four decisional roles (entrepreneur, disturbance handler, resource allocator and negotiator). In 2000 he adapted this to design a conceptual model with the manager in the central core, performing the two roles of conceiving and scheduling. Concentric circles, depicting levels on which the manager fulfils various other roles, surround this core. These are the information level (with the roles of controlling and communicating), the people level (with the roles of leading and linking) and the action level (with the roles of doing and dealing) (Mintzberg, 2000:20).

Quinn *et al.* (1990), on the other hand, defined eight roles that a manager has to perform (innovator, broker, producer, director, coordinator, monitor, facilitator and mentor), with three competencies for each role. Hellriegel (1999) defined six competencies (communication, planning and administration, teamwork, strategic action, self-management and global awareness), with each having its particular dimensions.

Initially, most authors refer to the basic managerial functions as being planning, organising and controlling. This would, however, relegate the functions of a manager to something similar to the coordinator role of Quinn *et al.*, reflecting the type of focus these authors place on the role of a manager. In this role the manager's task is to ensure that work flows smoothly and that activities are carried out with the minimum amount of conflict, according to their relative importance. The coordinator must ensure that the right people are at the right place, at the right time, to perform the right task, with the right

physical materials in place (Quinn *et al.*, 1990:84). This entails getting the work done through people.

This, again, is in line with the planning and administration competency put forward by Hellriegel (1999:19-20), who states that it entails deciding what tasks need to be done, determining how they need to be done, allocating resources to enable them to be done and to monitor progress to ensure that they are done.

The communication competency of Hellriegel (with the dimensions of informal and formal communication and negotiation) is again similar to the mentor role of Quinn *et al.* (1990), with the competencies of understanding oneself and others, interpersonal communication and developing others. This communication competency would be in line with the communicating role (Mintzberg 2000) and the liaison role (Mintzberg 1975). The competencies of receiving and organising information, evaluation of routine information and responding to routine information in the monitor role of Quinn *et al.* (1990) are needed on the information level of Mintzberg (2000).

A superficial comparative analysis of the conceptual model of Mintzberg (2000), with the research done by Hellriegel (1999) and Quinn *et al.* (1990), shows marked similarities, although they refer to different concepts. In the conceptual model of Mintzberg (2000), the manager is positioned in the core, fulfilling the roles of conceiving and scheduling. This relates to the strategic action, self-management and global awareness competencies and their dimensions of Hellriegel (1999), as well as the innovator and coordinator roles and their competencies of Quinn *et al.* (1990).

The controlling and communicating roles performed on the information level (Mintzberg, 2000) relates to the communication competency with its dimensions, and the planning and administration competency with its dimensions of Hellriegel (1999) and the coordinator and monitor roles with their competencies of Quinn *et al.* (1990).

The leading and linking roles performed on the people level (Mintzberg, 2000) relates to the communication and teamwork competencies and the dimensions of each of Hellriegel (1999), as well as the facilitator and mentor roles and their competencies of Quinn *et al.* (1990).

The doing and dealing roles performed on the action level (Mintzberg, 2000) relates to the planning and administration competency with its dimensions and the strategic action competency with its dimensions of Hellriegel (1999), as well as the director and facilitator roles and their competencies of Quinn *et al.* (1990).

A comparison of the Mintzberg (2000) conceptual model with his initial work (1975) reveals that all the roles put forward in his 2000 model can be linked to the roles put forward in his initial work, although the roles are labelled differently. The informational roles of monitor, disseminator and spokesperson (1975) relate to the roles of controlling and communicating performed on the information level in his 2000 model. Similarly, the interpersonal roles of figurehead, leader and liaison (1975) relate to the roles of leading and linking performed on the people level in his 2000 model.

However, the spokesperson in the informational role in the 1975 work could also relate to the leading and linking roles on the people level in his 2000 model, whereas the disturbance handler in the decisional role in the 1975 work could also relate to the people level in his 2000 model. The only addition is the issue of the manager fulfilling roles of conceiving and scheduling in the core, which could relate to the role of entrepreneur in the decisional role in his 1975 work.

2.4 CONCLUSIONS

Some researchers would like to indicate that there are managers and that there are leaders, and that an organisation needs both. They would argue that it is an either/or situation. Either someone is a manager, or someone is a

leader. The organisation would therefore need managers and leaders. This school of thought presumably still views the manager as the person who merely organises, plans and controls, while the leader is the person who provides a vision for the future of the organisation. For them the leader is the lonely person at the top, setting the visionary goals for the organisation, while the rest - the managers and the people – are seeing to it that the job gets done.

This research has shown that this clear distinction is a fallacy and that Hellriegel (1999) has added *leading* as a basic managerial function to this minimalist view. His argument has added leadership to the function of planning (defining organisational goals) as well as to organising (creating a structure of relationships). Leadership is therefore part of planning and organising, whereas controlling is a purely managerial function. Leading is a management function that entails taking action to enable others to achieve goals. Hellriegel also refers to leading as involving communicating with and motivating others to perform the tasks necessary to achieve goals. It has, therefore, an emotional, humanistic focus.

This research has also shown how Mintzberg (1975), Quinn *et al.* (1990), Hellriegel (1999) and Mintzberg (2000) define the various roles that a manager performs. All of these include leading as a basic function (role), which would support the view of Hellriegel that leading is a basic managerial function. Mintzberg (2000) has added to this argument by referring to the various levels on which a manager performs, one of which is the people level, again involving leading.

This research has also shown that the various authors refer to basically the same concept using different terminology and concepts. Hellriegel (1999) refers to competencies with their dimensions, whereas Quinn *et al.* (1990) refer to the various roles of a manager with the needed competencies to fulfil each role. Mintzberg (1975), however, only refers to the roles of a manager, without describing the competencies needed to fulfil these roles. Mintzberg

(2000) builds on this by referring to the levels on which a manager performs, together with the various roles the manager performs.

Taking into account the definition of competency put forward in the previous section, it is obvious that, however different the above conceptions may be, the competencies used by an organisation would be unique to the needs of the organisation and the specific job, but still in line with most of the theory put forward by the authors referred to previously in the field of competencies. Where one author refers to a role, the other could refer to a competency. Where one refers to a competency, the other could refer to a dimension of a competency. Mintzberg is the only one to refer to the levels on which a manager operates and in the process confirms that being a leader (or leading) is a basic management function.

What has, however, become evident from the above discussion is that the manager would need specific and definite skills, attributes and knowledge to enable others to achieve the goals of the organisation. This involves leading and managing others to perform the tasks necessary to achieve goals, as leading involves communicating with and motivating others to perform the tasks necessary to achieve the goals. Leading, therefore, has an emotional, humanistic focus.

The CMCs used in the PMDS can be analysed against the concepts put forward in this chapter to determine whether they are in fact competencies and also whether they are predominantly management or leadership focused. This analysis will also assist to analyse whether the CMCs will contribute to SMS members contributing towards organisation transformation and development. However, before this is undertaken, it would first be necessary to describe and discuss the PMDS to provide context and understanding.

CHAPTER 3

THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM FOR THE SENIOR MANAGEMENT SERVICE

3.1 INTRODUCTION

The concepts of competence and competency were conceptualised and the concepts of management competencies and leadership competencies explored in Chapter 2. This will be used to determine whether the PMDS will be developing leadership capabilities in SMS members. This will be done in Chapter 5, where the competencies used in the PMDS will be analysed. To be able to undertake this analysis, the PMDS will be discussed in this chapter and compared to international examples in Chapter 4 to provide understanding and context.

The research primarily focuses on the competencies used in the PMDS; however, it is also relevant to discuss the complete system, as the system and the manner in which it is implemented can have an impact on the theme of this study. Although the PMDS is a national system, the documentation used for implementation in the provincial Government of the Western Cape (formerly referred to as Provincial Administration of the Western Cape) (South Africa, 2002) will be used for discussion and analysis in Chapters 4 and 5, as it is a duplicate of the national system.

The overall discussion of the PMDS in this chapter will lead into the analysis of the CMCs used in the PMDS, as well as a comparison with selected international examples in Chapter 4 to provide context. This will then lead into Chapter 5, where the CMCs will be analysed in terms of leadership and organisation development focus, to determine whether the system will be able to develop managers to play stronger leadership roles within their organisations, as well as directing the development of their organisations. The

CMCs will therefore not be discussed in detail in this chapter, but will merely be referred to for the sake of completeness.

3.2 THEORETICAL PERSPECTIVE

In Chapter 2 a manager is described as someone who gets things done through other people. It is also pointed out that managers have various leadership roles to play to get the things that have to be done done effectively and efficiently. It can thus be stated that the manager has various managerial leadership roles to fulfil.

Boyatzis (1982:1) maintains that organisations need managers to be able to reach their objectives and that they need competent managers to be able to reach these objectives both efficiently and effectively. He further maintains that it is the competence of managers that, to a large degree, determines the return that organisations realise from their human capital or resources.

It thus follows that there is a central element of effective performance in a job, whereby output objectives are attained. Boyatzis (1982:12) put forward the following definition of effective job performance:

Effective performance of a job is the attainment of results (i.e. outcomes) required by the job through specific actions while maintaining or being consistent with policies, procedures and conditions of the organisational environment.

Boyatzis (1982:12) also maintains that certain characteristics or abilities of the person enable him/her to demonstrate the appropriate specific actions. In Chapter 2 it was argued that these characteristics or capabilities can be referred to as the competencies that the person brings to the job situation. These competencies, together with the job's demands on the person (requirements of the job), occur within the context of the organisation as environment. There are thus three components that need to be balanced to ensure effective performance, namely, the individual's competencies that are

brought to the job, the demands of the job on the person, and the organisational environment within which the specific job (actions) has to be performed. Boyatzis (1982:13) maintains that these are critical components that need to be consistent (or “fit”) to ensure effective action.

This effective action can also be referred to as the performance of a manager and has to be appraised to ensure the ongoing management of both outcomes and behaviour. According to Grobler *et al.* (2002:266), performance appraisals have an evaluative objective (compensation decisions, staffing decisions and evaluation of the selection system), as well as a developmental objective (performance feedback, direction for future performance and identify training and developmental needs).

Molander (cited in Winterton, 1999:19) offers the general reason for developing managers as the identification and release of individual potential through matching the growth needs of the individual manager with the needs of the organisation – career development as an objective goal for the individual has to be moulded in such a way as to be consistent with the corporate needs. Abrams (cited in Winterton, 1999:19) refers to the development of managers as one of the strategic objectives of an organisation that need to mesh with the objectives of the individual. Winterton (1999:20) further maintains that the foundation of an organisation’s capabilities is the competences of its individual members, whose routine skills must be constantly built upon and modified to produce improved organisational performance.

This should especially be applicable to the South African civil service that consists of SMS members from diverse cultural and developmental backgrounds. In this regard, the system of performance measurement should also have a developmental focus, whereby individual skills, knowledge and attributes (competencies) are developed.

3.3 DISCUSSION OF THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

3.3.1 Introduction and context

It has been stated from various platforms by various political leaders, that the major challenge facing this government is the acceleration of service delivery improvement to ensure a better life for all South Africans. In view of this, the Minister of Public Service and Administration (MPSA) commissioned a study of the previous senior management employment framework and subsequently approved a policy statement regarding the establishment of a Senior Management Service (SMS) in the public service.

On 23 August 2000 Cabinet adopted this policy statement containing key strategic shifts away from the previous dispensation. This recommended a strengthening of management capacity by creating a more distinct and professional SMS, with a new salary structure that could be structured by the individual. It also recommended better training and development and career progression that would allow greater mobility between the various departments on provincial and national level (South Africa, 2000:1-8).

After extensive consultation, a new Performance Management and Development System (PMDS) for the SMS was accepted. This was implemented in terms of Part III.B3 of Chapter 4 of the Public Service Regulations, 2001 by a directive from the Minister of Public Service and Administration (South Africa, 2002:2). Although drafted and accepted on national level, this is applicable to all SMS members throughout national and provincial spheres of government.

This system applies to all members of the SMS of the Provincial Government of the Western Cape (PGWC) appointed in terms of the Public Service Act, 1994 (as amended), Heads of Department included. It augments the Staff Performance Management System (SPMS) with regard to the SMS and can thus be seen as an operational manual for this group.

The system introduces the following new elements to the SMS performance appraisals:

- Mandatory assessment of demonstrated managerial competence by means of CMCs;
- A standardised rating scale to which performance-related rewards must be directly related;
- A two-tier reward system consisting of pay progression and performance bonuses;
- Personal development plans.

It also provides that all members of the SMS are eligible for a cost-of-living adjustment with effect from 1 January of a particular year, irrespective of the outcome of performance appraisal, which is determined by the MPSA on an annual basis.

3.3.2 Integration with other organisational processes

Performance management is an approach to how work is done and organised and focuses on continuous improvement of performance and outcomes. The PMDS is thus integrated with other planning and organisational processes and systems, and it is driven from the highest level in the organisation (South Africa, 2002:2). As provided for in the PMDS, the following processes should be taken into account in managing performance at departmental level:

- **Strategic planning and performance agreements/ assessment**
Job descriptions for all posts are called for and should be based on the main objectives of a post. Performance Agreements (PAs) are finalised prior to the commencement of a financial year and are directly related to the department's strategic/operational plan. PAs for operational workers are linked to those of the SMS members. Reviews of achievement against departmental strategic objectives and business plans coincide with individual quarterly performance reviews to enable

individual and organisational performance to be more effectively linked (South Africa, 2002:3).

- **Competency framework**

A set of generic management competencies applies to all members of the SMS. These core generic competencies help build a common sense of good management practice in the public service, inform performance management and assist in the identification of development needs of members of the SMS (South Africa, 2002:3). The eleven CMCs will be dealt with under paragraph 3.3.4.

- **Management development**

Managers are to take responsibility for results and PAs; reviews and appraisals afford supervisors the opportunity to provide feedback and form a basis for a decision on whether a member of the SMS had quantitatively and qualitatively surpassed the agreed upon objectives. This simultaneously plays a key role in effective management development, for example, by looking for ways of improving what had been achieved (South Africa, 2002:3). The manual stresses that the role of the appraisal in enabling the determination of rewards and key career incidents should not overshadow the developmental orientation of the PMDS. The key purpose of PAs, reviews and appraisals is for supervisors to provide feedback and enable managers to find ways of continuously improving achievements (South Africa, 2002:4).

3.3.3 Performance agreements (PAs)

It is expected of all members of the SMS to enter into PAs, which will apply for a particular financial year and be reviewed annually. The PAs of individual managers are to be based on a department's strategic/operational plan and the milestones agreed upon by the relevant Executing Authority (EA). A minimum of two formal reviews must take place during the course of the year, with one preferably being in the middle of the performance management and

development cycle and the other at the end of the cycle, linked to the review of the department's/unit's strategic/operational plan. Failure to deliver in terms of a PA can serve as evidence in support of termination of service based on incapacity, should such a process become necessary. CMCs are included in the PAs to promote service delivery.

A Personal Development Plan that is linked to the CMCs and Key Result Areas (KRAs) of the Performance Plan, where applicable, must be included as part of each PA. A blueprint format for such PAs (included as **Appendix A**) is provided for and may be adjusted to suit particular needs (South Africa, 2002:4-5).

3.3.4 Contracting and determination of assessment criteria

Assessment criteria

The criteria according to which the performance of a member of the SMS is assessed consist of two components, both of which are contained in the PA. Each SMS member is assessed against both components, with a weighting of 80:20 allocated to KRAs and the CMCs respectively. The KRAs describe what is expected from a member of the SMS in her/his job. These are derived from the organisational Strategic Plan and each area of assessment is weighted and contributes a specific part to the total score. KRAs covering the main areas of work of the SMS member account for 80% of the final assessment, whereas the CMC make up the other 20% of the member's assessment score (South Africa, 2002:5).

Competency-based management links competencies to the strategic objectives of the organisation and tracks performance in all human resources areas. The PMDS uses eleven CMCs as core competencies for the SMS to determine expected performance standards in PAs and to assess achievement through performance reviews. Although the

purpose of including the CMCs in the PMDS is to contribute to the process of developing a common understanding of sound management practice, these criteria and standards do not displace the importance of specific results-based performance criteria. The CMCs are supplementary to the specific performance criteria (KRAs) for any particular job in any specific department (South Africa, 2002:5).

The set of generic management competencies apply to all members of the SMS. According to the PMDS (South Africa, 2002:3), it will help build a common sense of good management practice in the public service, inform performance management and assist in the identification of development needs of members of the SMS.

The eleven CMCs used in the PMDS that relate to *how* managers do their jobs – they do not describe the results that should be achieved (South Africa, 2002:6) – are as follows:

- Strategic capability and leadership;
- Programme and project management;
- Financial management;
- Change management;
- Knowledge management;
- Service delivery innovation;
- Problem solving and analysis;
- People management and empowerment;
- Client orientation and customer focus;
- Communication;
- Honesty and integrity.

A table that includes the elements of each criterion, a description and possible standards that may be expected is provided in **Appendix B**.

Agreement on the standards for measuring Core Management

Criteria

Every member of the SMS is assessed against all the CMCs that are applicable to her/his job. Not all CMCs are equally important in a particular job context, or may apply in different ways to different jobs.

To adapt the CMCs to specific jobs and job contexts (South Africa, 2002:6), the SMS member together with her/his supervisor must:

- Decide which of the CMCs apply to the specific job;
- Weight each relevant criterion to show the relative extent to which it relates to the specific job. Factors such as impact and frequency *inter alia* determine the importance of a specific criterion to a specific job. The weighting of all the criteria should add up to 100;
- Adapt the generic standards to the demands and context of the job as required.

The PMDS prescribes that Departments should decide which CMCs are relevant for professionals, as some may not have any staff under their control. It also prescribes that the following CMCs shall, as a minimum, be included in the PAs for all members of the SMS with managerial responsibilities (South Africa, 2002:7):

- Financial management;
- People management and empowerment;
- Client orientation and customer focus.

Agreement on individual development plans

The PMDS prescribes that developmental requirements of an SMS member are identified by working through the CMCs, as well as by identifying job-specific development needs. There must also be agreement on the steps to be taken to address the developmental gaps and the date by which a review of progress will be undertaken. These

undertakings are to be recorded as part of the PAs, using a standardised format of the Individual Personal Development Plan under **Appendix C** (South Africa, 2002:7).

3.3.5 Application of the CMC

The PMDS prescribes that, at the start of each performance cycle, a Head of Department (HOD) is responsible for selection of the CMCs that are to be applicable within the Department and the determination of standards that would apply to each CMC (South Africa, 2002:8).

Selection of the CMC

The HOD can either determine which of the eleven CMCs are applicable to particular jobs within her/his department and weight those that are relevant according to importance, taking into account the minimum CMC requirements outlined above, or decide to allow SMS members flexibility to select the CMCs appropriate to them, together with their supervisors, and to weight them accordingly; or apply a combination of these approaches. Any transversally determined CMCs are to be taken into account (South Africa, 2002:8).

Determination of standards

An HOD has the prerogative to give guidance on the determination of standards that are to apply to each of the selected CMCs (using the generic standards listed in Appendix B as a guide. An HOD may, however, allow managers flexibility to determine appropriate standards according to their position within the department and their job descriptions, should circumstances warrant such a deviation. Any transversally set norms and standards are to be taken into account (South Africa, 2002:8).

3.3.6 Performance reviews and annual performance appraisal

The frequency of formal review and appraisal processes are as set out in paragraph 3.3.3 above. Formal performance reviews and an annual performance appraisal are prescribed for all staff of the PGWC and with due regard to the varying needs and demands placed on members of the SMS by virtue of their managerial responsibilities, a standardised Quarterly Performance Review Form is used for the SMS, which is included as **Appendix D** (South Africa, 2002:9).

The assessment instrument included as **Appendix E**, used with an Assessment Rating Calculator included as **Appendix F**, is used for the annual performance appraisal at the end of the cycle. The Assessment Rating Calculator may well enable a Department to compare the appraisal outcomes of individual members of the SMS. The outcome of the annual performance appraisal process is recorded on the Appraisal Certificates included as **Appendices G and H** (South Africa, 2002:9).

As provided for in the PMDS (South Africa, 2002:9-10), the following standard rating scale applies:

- **LEVEL 5:** *Outstanding* (85% or higher): Consistently exceeded standards and consistently demonstrated exceptionally high level of performance (qualitatively and quantitatively).
- **LEVEL 4:** *Commendable* (Performance significantly above expectations: 80 – 84%): Has in some cases exceeded standards and demonstrated more than an acceptable level of performance (qualitatively and quantitatively).
- **LEVEL 3:** *Acceptable* (Fully effective: 65 – 79%): Has met agreed standards and demonstrated an acceptable level of performance (qualitatively and quantitatively).

- **LEVEL 2: *Borderline*** (Performance not fully satisfactory: 50 – 64%): Has failed to meet agreed standards exactly and demonstrated a level of performance that is regarded as on the borderline of unacceptable and acceptable. A Performance Improvement Programme to assist the member should be developed.
- **LEVEL 1: *Unacceptable*** (49% and below): Has failed to meet agreed standards, demonstrated an unsatisfactory level of performance and is not gainfully employed. The procedures as laid down in the Incapacity Code and Procedures for the Public Service are to be followed. Should there be any reasonable expectation that further interventions may improve the situation within a reasonable period of time, the initiatives as provided for under LEVEL 2 should be reverted to.

The quarterly performance review and annual performance appraisal processes involve the following:

- **Assessment of the achievement of results (KRAs) as agreed upon in the PAs**
Each KRA is assessed and agreed upon on the extent to which the specified standards or performance indicators have been met and the weighting given to the KRA during the contracting process is taken into the equation. The Assessment Rating Calculator – included as **Appendix F** - may be used to add the scores and calculate a final KRA score, based on the 80% weighting allocated to the KRAs (South Africa, 2002:10).
- **Assessment of the core management criteria**
Each criterion is assessed according to the extent to which the agreed upon standards have been met and an indicative rating on the five-point scale is provided for each criterion. This rating is then multiplied by the weighting given to each criterion during the contracting process to provide a score. The Assessment Rating Calculator may then be

used to add the scores and calculate a final CMC score, based on the 20% weighting allocated to the individual CMCs (South Africa, 2002:11).

According to the PMDS (South Africa, 2002:11), it is important to note that the overall rating awarded at the end of the cycle (being an indicator of the extent to which an SMS member has managed to reach the objectives as agreed upon in the PA) is much more than a simple average of scores allocated to the separate elements. With due regard to the importance of the Assessment Rating Instrument in the validation process, the overall performance rating is not necessarily a simple arithmetical average of the individual performance ratings. It is more a conclusion by the supervisor of performance against all objectives, their relative importance and taking into account any factors/events affecting performance. The supervisor's overall rating also only occurs after a thorough discussion of performance and ratings with the SMS member.

3.3.7 Performance-based pay and rewards

All members of the SMS are eligible to be considered for performance-related pay increases (package progression) on a bi-annual basis provided that their performance is evaluated to be on level 3 or above (discussed under paragraph 3.3.6.). Over and above performance-related pay increases, SMS members may also annually be considered for performance rewards as recognition of the extent to which they have achieved the goals as had been agreed upon in their performance agreement. Departments, however, have to project the resource implications of monetary rewards and ensure that these are provided for in the budget (South Africa, 2002:12). The conclusion can be drawn that it could well happen that the availability of funds could dictate whether these are in fact awarded. At this stage, non-financial rewards are not available.

Pay progression system

This centralised pay progression system is applicable to all members of the SMS (in a full-time capacity), including Senior Professionals (in a full-time and part-time capacity) on SMS Grades 13 to 16 who are on a standard remuneration band. Pay progression is an upward progression in remuneration from a lower remuneration package to a higher remuneration package. This is effected by way of progression within the same remuneration band from the lowest to the highest package based on a time schedule of 24 months to a member of the SMS who received a rating of at least 65% in terms of the Assessment Rating Instrument (South Africa, 2002:13-14).

The assessment for pay progression shall be in terms of the PMDS and will be implemented on 1 April of a particular year. In order to be considered for pay progression, SMS members must have been on a specific remuneration package within a band for at least two years (24 months) and they should have received at least a fully effective assessment on completion of the two-year period in question. The pay progression system will have the effect that members who achieved a score of at least "Acceptable" over the last 12 months of a pay progression cycle will qualify every 24 months for the awarding of the next higher package.

The first pay progression could only be effected on 1 April 2003 and was based on assessments for the period 1 April 2001 to 31 March 2003. To qualify, the affected members should at least have been in service for a period of 24 months on their current remuneration packages on 1 April 2003. In practice this may have the effect that a member appointed/promoted with effect from 1 May of a year to an SMS position would only qualify 35 months later for possible pay progression.

Members may receive a (once-off) performance (cash) award and pay progression in the same year, provided that the member has achieved

a total score of 80% or more in terms of the Assessment Rating Instrument. SMS members who benefit from this pay progression system during a financial year will receive the benefit in addition to possible annual cost-of-living package adjustments. SMS members who were on personal notches and translated to a remuneration package that is above the salary level or remuneration band linked to the job weight shall not qualify for pay progression in the higher remuneration band.

Performance rewards

SMS members qualify to be awarded a cash bonus of between 1% and 8% of the total remuneration package as recognition of the extent to which a member of the SMS has achieved the goals that had been agreed upon in her/his performance agreement (South Africa, 2002:13).

Decisions regarding the percentage to be considered for allocation as a cash bonus should be based on the recorded results and should form the basis of assessment (South Africa, 2002:12).

A maximum of 1,5% of a department's total annual SMS remuneration budget (i.e. the budget for the all-inclusive flexible remuneration packages of all their SMS members) may be allocated as performance rewards (South Africa, 2002:13).

From this, it could be deduced that it might well happen that some members who qualify will not be awarded such cash bonuses. It could also happen that a "rotational scheme" be implemented due to lack of funds.

The cut-off points and maximum percentages that apply for the awarding of cash bonuses, while taking into account any transversally set norms and standards, are set out in **Table 3.1**.

Table 3.1: Cut-off points and maximum percentages

CASH BONUSES		
CATEGORIES	TOTAL SCORE	CASH BONUS
A: Outstanding performance	85% and above	Between 6 - 8%
B: Performance significantly above expectations	80 – 84%	Up to 5%

(South Africa, 2002:13)

3.3.8 Personal (individual) development plan

According to the PMDS (South Africa, 2002:16), a training and development plan will be designed for each SMS member to address the gap that exists between the required competency profile and actual competencies needed. The training and development needs will not only be identified during performance reviews and assessments, but also on initial appointment when the work plan is developed (also refer to paragraph 3.3.4 above, where agreement on these plans is described).

Development should support work performance and career development, driven by the needs of individual managers linked to their department's strategic plan and operational plans. The training and development needs of the individual SMS members are to be determined through continuous monitoring, quarterly reviews and annual assessments.

3.3.9 Oversight and moderation

The legal and regulatory framework, as it relates to the SMS, largely determines the roles and responsibilities of the key role-players with regard to oversight and moderation of the PMDS (South Africa, 2002:16-17). These roles and responsibilities can be described as:

Premier

The Premier is responsible for the career incidents of HODs who will exercise this responsibility in consultation with Provincial Cabinet. The Premier retains the final decision-making authority.

Executive Authority

It is the responsibility of an EA to:

- Hold an HOD accountable for performance under her/his own performance agreement;
- Ensure that there is an appropriate and valid strategic plan as well as a departmental operational plan in place to guide the development of PAs.

Head of Department

The role of the HOD is *inter alia* to:

- Ensure that the PMDS is communicated among all members of her/his SMS team and to ensure that there is a link between the PMDS and the rest of the department;
- Lead by example, complete and adhere to her/his PA and ensure compliance by all SMS members to their PAs;
- Build a culture of performance and open discussion in her/his department to enable the PAs to be fully and appropriately developed and implemented;
- Ensure that all the strategic resources are effectively utilised and other planning processes are efficiently run in order to support implementation of the departmental strategic plan;
- Require of every SMS member to prioritise the correct implementation of the PMDS;
- Make decisions based on recommendations, whether they are for recognition or sanction, and take final decisions on sanctions, especially where they are disputed.

Senior Management Service

The role of all members of the SMS is to:

- Ensure that they complete and implement their own PAs;
- Ensure that all operational workers that they are responsible for complete and implement their own PAs and Integrated Personnel Development Plans (IPDPs).

The PMDS (South Africa, 2002:18) states that performance management data collection, recording and aggregation are vital to the continued efficient implementation of the system. The PMDS also requires that all performance reviews and annual appraisals should be fully recorded and the resultant records signed as a true reflection of the discussion and outcome by both the SMS member and the supervisor as it could form a basis for future action e.g. in meeting training and developmental needs.

All personal performance information recorded is confidential and may only be released to third parties (other than the SMS member and her/his supervisor or EA/HOD as employer) with the member's prior written permission. Information pertaining to the PMDS for the SMS must also be included in the annual reports of departments.

3.4 FINDINGS

In the introduction to this chapter it was stated that Boyatzis (1982:1) maintains that organisations need managers to be able to reach their objectives and that they need competent managers to be able to reach these objectives both efficiently and effectively. It was also stated that there is a central element of effective performance in a job whereby output objectives are attained. A definition of effective job performance was put forward by Boyatzis (1982:12) as being the attainment of results (i.e. outcomes) required by the job through specific actions, while maintaining or being consistent with policies, procedures and conditions of the organisational environment.

It was also stated that performance management in the PMDS is an approach to how work is done and organised, and that it focuses on continuous

improvement of performance and outcomes. It was also shown that managers are responsible for results, that the PMDS is driven from the highest level and that it is integrated with other planning and organisational processes and systems in the organisation. The processes taken into account under paragraph 3.3.2 are:

- Strategic planning and performance agreements/assessment;
- A generic competency framework;
- Management development.

It can therefore be deduced that the PMDS is informed by the budget of a department (medium term and annual), the budgetary processes, the strategic plan of a department, the annual report and the PAs of individual SMS members. Management development, through training and development of CMCs that are included in individual development plans, is also addressed in the process, which would lead to more effective performance of SMS members. Overall, it would therefore appear that the PMDS would assist in developing managers who operate in accordance with the definition of effective job performance put forward by Boyatzis.

Hartle (cited in Winterton, 1999:91) describes performance management as a process for establishing a shared understanding about what is to be achieved and how it is to be achieved; it is also an approach to managing people, which increases the probability of achieving job-related success. He further maintains that performance management should reflect both organisational and individual objectives, since the performance of the organisation rests on the achievements of the individuals who work within it.

The PMDS is explicitly only linked to meeting organisational objectives, which is directly in contrast with the view put forward by Winterton. As was pointed out under paragraph 3.3.8, individual development plans only relate to addressing the gap that exists between the required competency profile and actual competencies needed by the SMS member. It was also stated that the training and development needs of the individual SMS members should

support work performance and career development that are driven by the needs of individual managers, linked to their department's strategic plan and operational plans. It is therefore debatable whether these would truly be individual objectives as the organisational objectives are the individual objectives in the PMDS, as they have to be aligned. Therefore, the only "individual objective" that will be met is filling the gaps that exist between the required competency profiles and actual competencies needed by SMS members that are included in the individual development plans.

It was also highlighted that the PMDS rewards performance by awarding cash bonuses and increases of between 1% and 8% in remuneration to those SMS members who qualify after performance appraisals. The researcher is of the opinion that the issue of linking job performance to only financial rewards, as is done in the PMDS, creates a skewed focus on only rewarding past performance and not motivating members to perform well in the future, unless individual motivation is purely financial. The danger could be that financial rewards become the ultimate focus and primary motivator of SMS members and not the meeting of objectives, whether organisational or personal. The policy statement on the strengthening of the senior layer of the public service (South Africa, 2000:1) states that one of the persistent problems experienced in the civil service is the high turnover rates in scarce occupations, and problems in recruiting and retaining skilled senior personnel. The PMDS would therefore, as a system linking performance to reward, meet this objective. This would be in line with the view of Whiddett (2000:165-166), who maintains that a lack of money (as perceived by the job-holder) in relation to input of effort and the type of job performed is perceived to be demotivating.

In Chapter 1 it was pointed out that the current South African civil service has experienced, and still does experience, rapid changes, unlike civil services in other developed countries, where more evolutionary and gradual changes have taken place. This has led to the SMS in the South African civil service consisting of a mixture of members with well-developed management and leadership competencies and members still developing these competencies. The researcher is of the opinion that both these categories would therefore

benefit from the focus of the PMDS. SMS members from the previous dispensation, with perceived “ceilings” on their short-term promotional aspirations, as well as new appointees with possible financial motivations, would be motivated by the PMDS.

However, therein lies the possible challenge of the PMDS as a purely performance-based pay and reward system. The PMDS could lend itself to SMS members “manipulating” the system to gain the financial rewards that motivate them. Under paragraph 3.3.6, it was stated that the quarterly performance review and annual performance appraisal processes would involve an assessment of the achievement of results (KRAs) as agreed upon in the PAs and an assessment of the extent to which the agreed upon standards of the CMCs have been met.

It was also pointed out that the PMDS is based on performance appraisals dealt with on a one-on-one basis between superiors and individual SMS members, where developmental needs are also identified. Hussey (cited in Winterton, 1999:92) points out that there can be much dissatisfaction with this type of appraisal process, as it deals with too many issues at the same time. He maintains that it is difficult to deal with pay and promotion in the same context as development.

Winterton (1999:92) further maintains that performance appraisals are often criticised where pay is linked to the outcome of the appraisal, as it militates against the parties involved being open and honest. The question arises whether there will be complete honesty in the identification of developmental needs in relation to CMCs in the personal development plans, as these could be viewed as an acknowledgement of one’s own “deficiencies”. It could also well be that SMS members list only those developmental needs in individual development plans that they know will be met. The question can then rightfully be asked whether an SMS member would include objectives that are going to be difficult to achieve? Objectives can also be formulated in such a manner that they are guaranteed to be reachable, while still being in line with organisational objectives. It could also be quite possible that an SMS member

would only decide on those specific CMCs to be utilised for his/her appraisal that would contribute to a favourable appraisal, because of their own prior development of SKAs and specific strengths of subordinates.

The description of the PMDS showed that each area of assessment is weighted and contributes a specific component to the total score. KRAs covering the main areas of work of the SMS member account for 80% of the final assessment, whereas the CMCs make up the other 20% of the member's assessment score. If the SMS member can "choose" the KRAs to suit him/herself and also then choose which CMCs to include for his/her own appraisal (except for the three compulsory CMCs), which only counts for a weighting of 20% in the overall appraisal, then the danger of manipulation of the system becomes even more real.

The SPMS determines that performance appraisal of all staff are linked. In terms of this, the performance targets of subordinates cascade down from PAs of the SMS members. It could, therefore, happen that these are inadvertently "skewed" due to manipulation of the system, as discussed above, by SMS members.

3.5 CONCLUSIONS

The danger could be that financial rewards become the ultimate focus and primary motivator of SMS members and not the meeting of objectives, whether organisational or personal. It is therefore debatable whether the objectives stated by individual SMS members would truly be individual objectives as the organisational objectives are the individual objectives in the PMDS, as they have to be aligned. Therefore, the only "individual objective" that will be met is filling the gaps that exist between the required competency profiles and actual competencies needed by SMS members that are included in the individual development plans.

In this chapter it was shown that SMS members and their immediate superiors are “in control” of the PMDS and that there are many individual decision-making possibilities regarding which CMCs to include in the PMDS of an individual SMS member. The PMDS could therefore lend itself to SMS members “manipulating” the system to gain the financial rewards that motivate them. The researcher is of the opinion that the issue of linking job performance only to financial rewards, as is done in the PMDS, creates a skewed focus on only rewarding past performance and not motivating members to perform well in the future, unless individual motivation is purely financial.

The situation that the availability of funds will dictate whether an individual SMS member actually receives a bonus could lead to these bonuses being provided on a “rotational basis” to ensure that all who qualify within a Department stand a chance of at least receiving a bonus every few years. This could lead to SMS members “pacing themselves” according to the “cycle” of bonuses rewarded.

The situation that the KRAs account for an 80% weighting and the CMCs for only 20% in the final appraisal strengthens the view that the PMDS is primarily an output-focused system. It shows that it does not really focus on the development of competencies of SMS members. The manner in which the appraisal is done (one-on-one with immediate superiors) could also be a flaw in the system, as it presupposes that all superiors are indeed adept in performance appraisal and management development. It also presupposes that there will be no extenuating circumstances taken into account. Furthermore, it also does not take into account that, given the transformational state of the South African civil service, an SMS member could be appraised by a superior with far less experience, where the interpersonal relationship is still not fully developed.

It was pointed out that performance appraisal of all staff is linked and that the performance targets of subordinates cascade down from PAs of the SMS

members. It could, therefore, well happen that these are inadvertently “skewed” due to manipulation of the system by SMS members.

These specific conclusions will not really impact on the analysis of the CMC in Chapter 5, but will be referred to where applicable and relevant. The description of the PMDS in this chapter and the theoretical framework provided in Chapter 2 will underpin the comparative analysis of the CMCs used in the PMDS in Chapter 4 and the assessment of the CMCs in terms of a focus on leadership and organisational development in Chapter 5.

CHAPTER 4

COMPARATIVE ANALYSIS OF THE CORE MANAGEMENT CRITERIA USED IN THE PMDS

4.1 INTRODUCTION

The conceptualisation of competence and competencies, as well as management versus leadership competencies, undertaken in Chapter 2 provided the basis for discussing the PMDS in Chapter 3 and analysing the CMCs in Chapter 5. It also provided a context for, and understanding of, the description and discussion of the PMDS as a system, which was undertaken in Chapter 3. The discussion in Chapter 3 forms the basis for the comparison of the PMDS with selected international examples in this Chapter. Chapters 1, 2, 3 and 4 will culminate in an analysis of the CMCs in Chapter 5, with final conclusions and recommendations dealt with in Chapter 6.

It was argued in Chapter 2 that effective performance of a job entailed the attainment of specific results (i.e. the outcomes) required by the job through specific actions. It was also stated that certain characteristics or abilities (competencies) of a person enable him or her to demonstrate the appropriate actions and that the individual's competencies, therefore, represent the capabilities that he or she brings to the job situation. All this occurs within the context of an organisation, which is determined by the internal organisational environment and the larger external environment (Boyatzis, 1982:12).

The concept of a job competency, as an underlying characteristic of a person that results in effective and/or superior performance in a job, was also explored in Chapter 2. In this regard, Boyatzis (1982:12) maintains that, because job competencies are underlying characteristics, they can be said to be generic. The concepts of competence and competency were, therefore, also conceptualised in Chapter 2. It was argued that competence refers to the

knowledge, skills and attributes needed to perform functions successfully. It was also argued that competency is made up of many things that are internalised and only become evident in the way somebody behaves while performing functions. Competency, it was argued, is ability based on behaviour and has to do with the ability to perform a task through the integration of knowledge, skills and abilities, which will lead to behaviour that is required to complete the task according to a predetermined and desired level of performance.

The conceptual structure of competency was also explored in Chapter 2 and it was pointed out that an individual would need individual competencies that are not linked to any particular occupation or profession to be able to function in a modern economy. This would be particularly relevant to a member of the SMS, as the PMDS applies to all members of the SMS throughout South Africa and therefore also the PGWC, irrespective of their specific occupational class and training, or of their post functions. This argument will therefore form the basis for analysing the CMCs used in the PMDS in this chapter. To provide perspective, the CMCs used in the PMDS will also be compared to those used in international examples. Where necessary and relevant, specific comments will be provided.

The concepts of management competencies and leadership competencies were also explored in Chapter 2 to ascertain whether managers and leaders are two entirely different kinds of people. It was shown that the successful and efficient manager is capable of performing the four basic managerial functions of planning, organising, controlling and leading, where leading is a crucial element of planning and organising. It was also shown in Chapter 2 that a manager is not merely a manager, but has to perform various leadership roles in the daily performance of his/her functional responsibilities.

The specific competencies needed to perform the various leadership roles put forward in Chapter 2 will be used in Chapter 5 to analyse whether the CMCs used in the PMDS are predominantly management or leadership focused. This analysis is needed to determine whether the PMDS is in fact developing

managers to be leaders that will be able to lead their respective organisations to meet the demands placed on them within the context of a developing South Africa. Flowing from this, the CMCs used in the PMDS will then also be analysed through modelling to determine whether the development of these leadership competencies will develop managers into leaders who will be initiators of more participative organisational structures, and of the development of new organisational cultures and learning organisations (South Africa, 1995: 48 – 51). The model will focus on analysing the CMCs used in the PMDS to determine whether the development of these CMCs will lead to increasing individual effectiveness, team effectiveness and organisational effectiveness, by intervening in technological, behavioural and structural fields.

Before this analysis can be done, however, it would also be necessary to undertake a theoretical analysis of the CMCs used in the PMDS and also to compare them to international systems.

4.2 THEORETICAL ANALYSIS OF THE CMCs USED IN THE PMDS

In Chapter 2 it was pointed out that Mansfield (cited by Bhatta, 2001:195) asserts that there are four interrelated aspects of any job that are always present, albeit at different levels, namely:

- Technical expectations;
- Managing change;
- Managing different work activities;
- Managing working relationships.

It was also pointed out in Chapter 2 that Boyatzis (1982:12) maintains that effective performance of a job is the attainment of specific results (i.e. the outcomes) required by the job through specific actions. Certain characteristics or abilities (competencies) of a person enable him or her to demonstrate the appropriate actions. The individual's competencies, therefore, represent the

capabilities that he or she brings to the job situation and the requirements of the job can be considered to be the job's demands on the person.

In the preceding sections it was argued that competencies are contextually bound to prescribed standards of performance in a particular job and that they have specific conceptual levels and also specific characteristics. A competency was also defined as the integration of knowledge, skill and value orientation, demonstrated to a defined standard, for a specific job, in a specific context.

It was also pointed out in Chapter 2 that Virtanen (2000) is of the view that the public sector differs from the private sector in that political and ethical competencies, as value competencies, are vitally important. Virtanen (2000:333-336) identifies five competence areas in which public managers should perform to be effective, namely, task competence, professional competence in subject area, professional competence in administration, political competence and ethical competence. An analysis of these competence areas put forward in Chapter 2 shows that they do encapsulate the four interrelated aspects of any job (technical expectations, managing change, managing different work activities and managing working relationships), as put forward by Mansfield (2001).

An analysis of the list of broad abilities described by Meyer (1996) and dealt with in Chapter 2, provides a basis for the definition of the metacompetencies referred to in Chapter 2. This, together with the three broad metacompetency clusters described by Meyer (1996), as explained in Chapter 2, shows that they link up with the aspects of any job as described by Mansfield (2001), as well as the competence areas described by Virtanen (2000). The metacompetencies (Meyer 1996) would also relate to the set of competency clusters described by Hunt and Wallace (2001), referred to in Chapter 2, which they maintain is present in all managers.

It can thus be concluded that, for a public manager to be effective (to successfully master the aspects of a job as put forward by Mansfield (2001)),

the manager would need the metacompetencies put forward by Meyer (1996) (within the broad clusters) to develop their own competencies within the competency areas put forward by Virtanen (2000) (task competence, professional competence in subject area, professional competence in administration, political competence and ethical competence).

From the above it is evident that all the authors have to some degree considered the issue of a variety of abilities/competence areas/competencies applicable to all managers. The question thus arises whether there is a universal list of competencies that is applicable to all management jobs. Although this issue does not form the primary focus of this research, it is necessary to address this, in so far as it relates to the situation that the PMDS uses a standardised set of CMCs.

Boyatzis's research into competencies (cited in Horton, 2000:308) led to a generic model of management competencies which concluded that there are 19 generic competencies characteristic of outstanding managers, though not all management jobs require all 19 and some require additional competencies. Horton also maintains that the McBer Company has since produced a dictionary with nearly 400 behavioural indicators defining 216 competencies that have been found to be common to nearly 300 competency models.

Bhatta (2001:196) refers to the fact that there are countless sets of competencies in place in jurisdictions around the world. Burgoyne, Collin and Canning (cited in Winterton 1999:80) argue that generic lists of managerial competencies cannot be applied to diverse organisations. Yet managers as an occupational group are employed in a wide range of organisations and their mobility between enterprises demonstrates the validity of the idea of common transferable managerial competencies. Burgoyne (cited in Hayes, 2000: 92) further argues that managerial competencies cannot be disaggregated into lists that have universal application. This would be contrary to the PMDS as a system.

Woodruffe (cited in Hayes, 2000:93) believes that it is useful to identify lists of the competencies required by role holders, but acknowledges that different organisations engaged in different activities will require managers to have different competencies. This would, again, be contrary to the PMDS, where the PMDS allows for a standardised list of CMCs, irrespective of the job content of an SMS member.

Noordegraaf (2000:322) similarly maintains that competencies cannot be isolated from institutional surroundings, but should be defined by taking day-to-day, “real life” behaviour into account. He maintains that they depend on the ambiguities, rules of appropriateness and feelings of identity that have evolved over time. This view is supported by the research findings of Hayes (2000:98) that indicate that different competencies were seen to be important by senior managers working in different work environments and that few competencies were seen to be common for effective performance in all environments. This would also contradict the approach in the PMDS, where the same CMCs (taking into account the issue of personal choice of particular CMCs) are applicable to all SMS members, irrespective of whether the SMS member works in a national or provincial department.

Burgoyne (cited in Hayes, 2000:99-100), however, refers to the fact that some competencies have universal relevance. Burgoyne maintains that these competencies include the basics that are required to operate in any managerial context, although some of these basics may change over time. According to Burgoyne, these competencies include the overarching competencies to do with learning, changing, adapting forecasting, anticipating and creating change. Burgoyne, similar to Meyer (referred to in Chapter 2), refers to these competencies as metacompetencies, which are crucial if managers are to develop the capacity to perform effectively if transferred to different roles, or work environments and in the future when job demands may change.

This would support the definition of metacompetencies put forward by Meyer as described in Chapter 2, as those competencies that enable the individual to

develop occupational competencies and underpin the acquisition of occupational competencies that enable the individual to function effectively in an organisational or societal context. These metacompetencies would therefore be abilities to develop the capacity to perform in current or similar future circumstances.

Hayes (2000:100) maintains that, while different managers working in different environments might need to develop different sets of idiosyncratic competencies to respond to the requirements of their immediate circumstances, there would also be some shared competencies that can usefully be developed in the context of generic senior management. This would also support the concept of metacompetencies needed to perform in current or future management jobs, as put forward by Burgoyne and Meyer and discussed in Chapter 2.

The competency clusters put forward by Hunt and Wallace (see Chapter 2) are comparable to the overarching competencies to do with learning, changing, adapting forecasting, anticipating and creating change put forward by Burgoyne, as well as the metacompetencies put forward by Meyer (see Chapter 2). This would support the concept of metacompetencies put forward by both Burgoyne and Meyer.

It was previously stated that some competencies have universal relevance and that these competencies include the basics that are required to operate in any managerial context, although some of these basics may change over time. These competencies include the overarching competencies to do with learning, changing, adapting forecasting, anticipating and creating change (Burgoyne cited in Hayes, 2000:99-100). These competencies are also referred to as metacompetencies, which are crucial if managers are to develop the capacity to perform effectively if transferred to different roles or work environments and in the future, when job demands may change (Burgoyne cited in Hayes, 2000:99-100 and Meyer, 1993:65).

It was also pointed out that, while different managers working in different environments might need to develop different sets of idiosyncratic competencies to respond to the requirements of their immediate circumstances, there would also be some shared competencies that can usefully be developed in the context of generic senior management (Hayes, 2000:100). Woodruffe (cited in Hayes, 2000:93) acknowledges that different organisations engaged in different activities will require managers to have different competencies.

Reference was made above to the fact that the McBer Company has produced a dictionary with nearly 400 behavioural indicators, defining 216 competencies that have been found to be common to nearly 300 competency models. An organisation would therefore have to determine its own specific competencies for each type of post, taking into account the demands of each job and the context within which it is to be performed. Competency lists can usefully be used for this.

As was stated in Chapter 3, the PMDS for the SMS consists of eleven CMCs that are applicable to all SMS members throughout South Africa, in both national and provincial spheres of government, irrespective of the type of job that is to be performed. The CMCs applicable to an SMS member in, for example, the National Treasury are therefore also applicable to an SMS member who is a civil engineer in a provincial roads department and to a heart surgeon who is an SMS member in a provincial academic hospital. The eleven CMCs used in the PMDS relate to how managers do their jobs – they do not describe the results that should be achieved – are set out in **Appendix B**. The eleven competencies that are to be measured are referred to as Criteria, with a Description provided for each. For discussion purposes and for ease of reference, a summary is provided in **Table 4.1**.

By their very nature these criteria are not linked to any particular occupation or profession and therefore to any body of knowledge, set of skills, or value orientation. If developed in the personal development plans for each SMS member, they would enable the individual to develop occupational

competencies, as they will then reside with the particular individuals. The criteria also underpin the acquisition of occupational competencies that will enable the individual to function effectively in an organisational or societal context. The CMCs could, therefore, also be referred to as metacompetencies, as defined by Meyer (1993:65).

Table 4.1: The CMCs used in the PMDS

(Italicised entries explained below)

Criteria	Description
1. Strategic capability and leadership	Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisational mandate.
2. Programme and project management	Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes.
3. <i>Financial management</i>	<i>Compiles and manages budgets, controls cash flow, institutes risk management and administers tender procurement processes in accordance with generally recognised financial practices in order to ensure the achievement of strategic organisational objectives.</i>
4. Change management	Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments
5. Knowledge management	Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation.
6. Service delivery innovation	Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals.
7. Problem solving and analysis	Systematically identifies, analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner.
8. <i>People management and empowerment</i>	<i>Manages and encourages people, optimises their outputs and effectively manages relationships in order to achieve organisational goals.</i>
9. <i>Client orientation and customer focus</i>	<i>Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (Batho Pele) into practice.</i>
10. Communication	Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.
11. Honesty and integrity	Displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service.

(Adapted from South Africa, 2002)

Although the CMCs constitute a standardised list, differing job demands are catered for within the PMDS by having only certain CMCs applicable to all posts as a minimum requirement. These are the CMCs of *financial management, people management and empowerment and client orientation and customer focus* that is prescribed to part of every SMS member's PA (these are highlighted in italics in Table 4.1 for ease of reference). The balance of CMCs have to be decided for each specific job. As was stated in paragraph 3.3.5, the HOD can either determine which of the eleven CMCs are applicable to particular jobs within her/his department and weight those that are relevant according to importance, taking into account the minimum CMC requirements outlined above, or decide to allow SMS members flexibility to select the CMCs appropriate to them, together with their supervisors, and to weight them accordingly; or apply a combination of these.

As was concluded in Chapter 3, this situation where an SMS member can choose which CMCs to use in addition to the three CMCs stated as minimum requirement can lead to manipulation of the system. It was pointed out that an SMS member could deliberately choose only those CMCs that will guarantee success during performance appraisal. Would an SMS member include a specific criterion that would reflect negatively on him/her? It was also concluded that it could well happen that there will not be complete honesty in the identification of developmental needs in relation to CMCs in the personal development plans, as these could be viewed as an acknowledgement of one's own "deficiencies".

However, the researcher is of the opinion that the process to be followed in the selection of the CMCs to be utilised for each specific post could lead to a situation where the ideal CMCs for each post will be decided upon, given the job demands and the context within which the job is to be performed. This is, however, merely an observation, as this issue does not form part of this study and could form the basis for further research, in which the application of the PMDS in practice is analysed.

As was stated in Chapter 3, the PMDS was implemented after extensive consultation in 2001 by a directive from the Minister of Public Service and Administration. The CMCs decided upon presumably emanate from issues highlighted in the White Paper on the Transformation of the Public Service (South Africa, 1995) that would have to be addressed through the SMS.

The White Paper (South Africa, 1995:17-18) highlighted the following aspects as challenges from the past:

- Lack of representativeness;
- Lack of popular legitimacy;
- Lack of service delivery;
- Centralised control and top-down management;
- Lack of accountability and transparency;
- Absence of effective management information;
- Low productivity;
- Poorly paid and demotivated staff;
- Conflicting labour relations;
- Lack of professional ethos and work ethic.

The White Paper (South Africa, 1995:19-20) also highlighted the following current challenges and constraints:

- Fear of change;
- Resistance to change;
- The danger of brain drain;
- Popular impatience at the pace of change;
- Lack of clear and well-communicated vision of change;
- Lack of co-ordination;
- Persistence of a rule-bound culture and the role of the Public Service Commission;
- Lack of skills and capacity;
- Financial constraints.

A comparison of these highlighted issues with the CMCs used in the PMDS shows that only the aspect of the danger of the brain drain (under current challenges) is not directly linked to the CMCs. The danger of the brain drain is presumably to be countered through the establishment of a distinct SMS and the implementation of the PMDS, as discussed in Chapter 3.

The possible reasons for having the CMCs of *financial management, people management and empowerment and client orientation and customer focus* as the minimum CMCs for every SMS member also needs specific investigation, as this would provide an indicator of the focus of the development of competencies of SMS members. The White Paper on the Transformation of the Public Service stated eight priority areas for the transformation process, of which the transformation of service delivery is the key to transformation and reform. The eight priority areas are depicted in **Figure 4.1**.

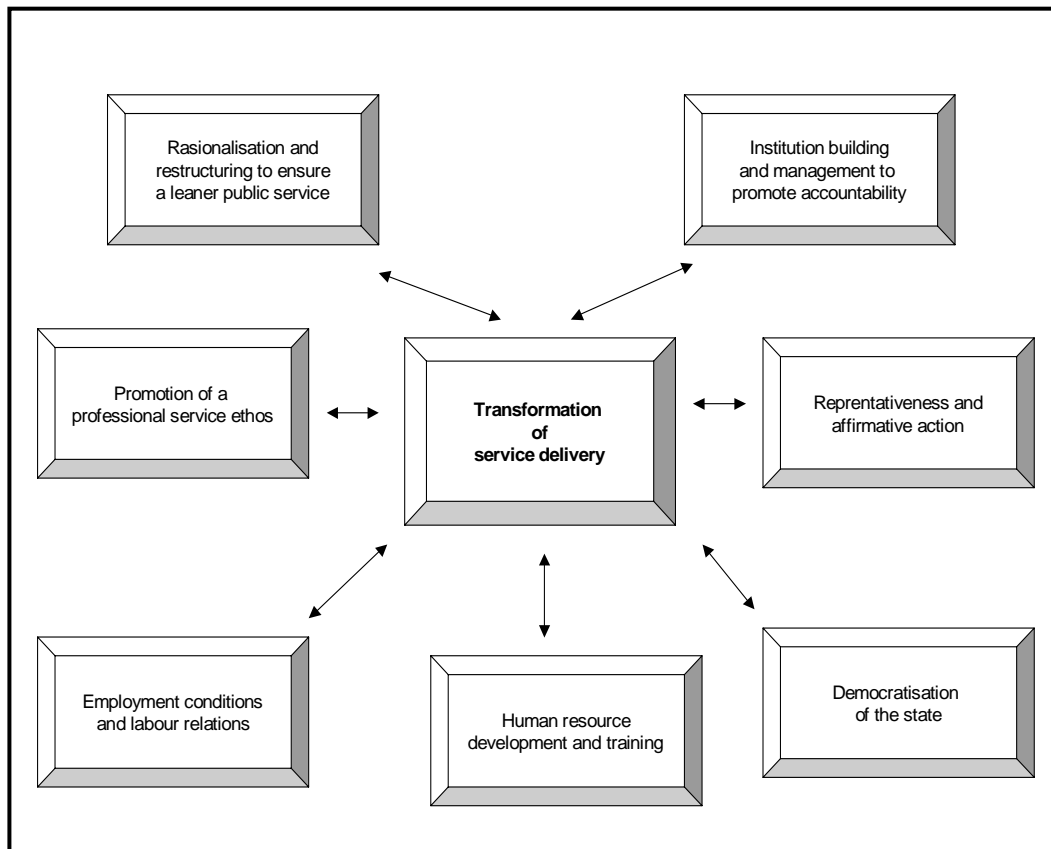
According to the White Paper on the Transformation of Public Service Delivery, *Batho Pele* can be translated as “People First” (South Africa, 1998:5).

The rationale behind deciding on having the CMCs of *financial management, people management and empowerment and client orientation and customer focus* as the minimum CMCs to be used in the PMDS for every SMS member could therefore, according to the researcher, be traced back to both the White Paper on the Transformation of the Public Service (South Africa, 1995) and the White Paper on the Transformation of Public Service Delivery (*Batho Pele* White Paper) (South Africa, 1998).

The object of the Public Finance Management Act, 1999 (Act No. 29 of 1999) is stated in Section 2 of the Act as being to ensure accountability and sound management of the revenue, expenditure, assets and liabilities of the institutions to which the Act applies. In the exploratory memorandum to this Act it is also stated that the Act adopts an approach to financial management which focuses on outputs and responsibilities. It is presumably with this also in

mind that *financial management* is included as one of the minimum CMCs in the PMDS.

Figure 4.1: Transformation of service delivery – the key to transformation



(Adapted from South Africa, 1998:9)

The decision to use the specific CMCs in the PMDS would therefore also take into account the situation referred to in Chapter 1 that, unlike in other developed countries where there were gradual changes taking place in their respective civil services, the rapid changes in the past years have led to the SMS in South Africa consisting of a mixture of members with well-developed management and leadership competencies to members still developing management competencies. It also takes into account the current developmental focus of the public service in South Africa. The question can rightfully be asked how these competencies compare to those used in other countries.

A comparison between the CMCs used in South Africa with some international examples could provide a valuable insight into differences of focus and also a leadership versus management perspective. Although this does not form the central theme of the research, the CMCs used in the PMDS will be compared to those used in selected international examples in the next section. Although the purpose of doing this is not to analyse the possible reasons for having specific competencies in their respective senior managements, a comparison could provide some insight into the CMCs used in the PMDS, as there should be some similarities because management is a generic function.

4.3 COMPARISON OF THE CMCs WITH SELECTED INTERNATIONAL EXAMPLES

Various arguments were put forward in the above sections that competencies have universal relevance and that these competencies include the basics that are required to operate in any managerial context. It was also pointed out that Hayes (2000:100) is of the opinion that, while different managers working in different environments might need to develop different sets of idiosyncratic competencies to respond to the requirements of their immediate circumstances, there would also be some shared competencies that can usefully be developed in the context of generic senior management functions.

According to Bhatta (2001:197), the literature on public sector competencies is relatively sparse, compared to that on the private sector. Bhatta also states that, whereas performance management regimes that flowed from the New Public Management (NPM) reforms primarily in the United States of America and the United Kingdom were the natural precursors to the usage of competencies in the public sector, this particular aspect has only recently been highlighted in the literature. For comparative purposes the United States of America, the United Kingdom, Australia and the Netherlands will be used as examples, as they were either considered to be part of the leading cases of

NPM reforms or are in the process of revamping their sets of competencies (Bhatta, 2001:197).

The competencies mentioned will be worded exactly as the various countries themselves have done and, as is the case with the CMCs, factors specific to each jurisdiction will affect the interpretation of a competency. The titles are therefore not a reliable guide to their meaning as, for comparison purposes, the descriptions will also have to be taken into account, as well as the context within which the relevant system was decided upon.

As the focus of this research is not primarily on a comparison of the CMCs with the international competencies used in their respective civil services, the comparisons will only be superficial to provide a sense of the wider context.

4.3.1 United States of America

The United States of America was the first country to designate a Senior Executive Service (SES) (Bhatta, 2001:197). Competencies needed by managers on this level are referred to as Executive Core Qualifications (ECQs) and are used not only to select new members, but also to form the basis for the executive and management curriculum. Compared to the CMCs in the PMDS, as was pointed out in Chapter 3, these were developed over a much longer time span. According to Bhatta (2001:197), the United States Office for Personnel Management (OPS) directed an extensive assessment for identification of competencies for effective leadership in 1992.

These competencies were then developed into the Leadership Effectiveness Framework by 1994, which is comprised of 22 competencies. The Leadership Effectiveness Framework was updated with various leadership competency models and best practices from the private sector. After piloting the product in 17 agencies, the ECQs were accepted in 1997. Unlike the PMDS in South Africa at this stage, the ECQs are required for entering into the SES and are

used for selection, performance management and leadership development for management and executive positions.

A comparison of the ECQs with the CMCs is set out in **Table 4.2**. This comparison shows that only the CMCs of knowledge management and service delivery innovation are not directly aligned to the ECQs used in the USA. The reasons for this could be traced back to the specific developmental needs dictated by the South African situation and the primary focus of service delivery. Although the primary motivator to decide on the CMCs was service delivery, the ECQs used in the USA are not that dissimilar to the CMCs used in South Africa.

Table 4.2: A comparison between the ECQ and the CMC

ECQ	ECQ associated leadership competencies	CMC
Leading change	Continual learning, creativity/innovation, external awareness, flexibility, resilience, service motivation, strategic thinking and vision	<ul style="list-style-type: none"> • Strategic capability and leadership • Change management
Leading people	Conflict management, cultural awareness, integrity/honesty and team building	<ul style="list-style-type: none"> • People management and empowerment • Honesty and integrity
Results-driven	Accountability, customer service, decisiveness, entrepreneurship, problem solving and technical credibility	<ul style="list-style-type: none"> • Programme and project management • Problem solving and analysis • Client orientation and customer focus
Business acumen	Financial management, human resources and technology management	<ul style="list-style-type: none"> • Financial management • People management and empowerment
Building coalitions and communications	Influencing/negotiating, interpersonal skills, oral communication, partnership, political savvy and written communication	Communication

Source: Bhatta (2001:198)

4.3.2 Australia

According to Bhatta (2001:1999), the Australian SES was created in 1984. To further enhance the SES, a new Senior Executive Leadership Capability Framework (SELCF) was introduced in 1999 to replace the prevalent SES selection criteria. The SELCF focuses on five capabilities sought in public service leaders and allows for a considerable degree of flexibility. Unlike in South Africa where a standard set of CMCs is used and where an SMS member can only leave out certain CMCs, the SELCF can be expanded according to individual agency requirements. This means that individual organisations have developed their own competency models that enable them to tailor selection and performance criteria to meet their own needs. According to Morley (1997:405), the differences between the models can be attributed to the methodologies used, where extensive consultation with chief executives and executives were relied upon.

A comparison of the competencies used in the SELCF with the CMCs used in the PMDS is set out in **Table 4.3**.

The comparison between the competencies used in the SELCF and the CMCs shows that the CMCs of financial management, knowledge management, service delivery innovation and client orientation and customer focus are not directly aligned with the SELCF. Similar to the comparison with the ECQs, the reasons for this could be traced back to the specific developmental needs dictated by the South African situation and the primary focus of service delivery.

Seeing that the SELCF can be expanded to suit organisational needs, a comparison with the competencies used in the SELCF does not really serve that much of a purpose other than to show differences/ similarities.

Table 4.3: A Comparison between the competencies used in the SELCF and the CMC used in the PMDS

SELCF competency	SELCF discussion	CMC
Shaping strategic thinking	Inspiring a sense of purpose and direction; focusing strategically; harnessing information and opportunities; showing judgement, intelligence and common sense.	<ul style="list-style-type: none"> • Strategic capability and leadership • Problem solving and analysis
Achieving results	Building organisational capability and responsiveness; marshalling professional expertise; steering and implementing change and dealing with uncertainty; and ensuring closure and delivering intended results.	<ul style="list-style-type: none"> • Programme and project management • Change management
Cultivating productive working relationships	Nurturing internal and external relationships; facilitating cooperation and partnerships; valuing individual differences and diversity; and guiding, mentoring and developing people.	People management and empowerment
Exemplifying personal drive and integrity	Demonstrating public service professionalism and probity; engaging risk and showing personal courage; commitment to action; displaying resilience and demonstrating self-awareness; and a commitment to personal development	Honesty and integrity
Communicating with influence	Communicating clearly; listening, understanding and adapting to audience; and negotiating persuasively.	Communication

Source: Bhatta (2001:200)

4.3.3 Netherlands

The Dutch Senior Public Service (SPS) was formally established in 1995. To assist in the career development of the members, a set of 28 competencies, grouped in seven clusters, is used. Similar to the situation in Australia, individual agencies are allowed to supplement this set with skills deemed relevant in view of the uniqueness of their own work (Bhatta 2001:199).

The original seven clusters and 28 competencies for the SPS are set out in **Table 4.4**, where it is compared to the CMCs for the SMS. The CMCs that are not directly aligned with the competencies needed in the SPS are the CMCs of programme and project management; financial management; change

management; knowledge management; service delivery innovation; and client orientation and customer focus.

It would appear that the CMCs are more output-based, whereas the competencies used for the SPS are more focused on the individual (i.e. Interpersonal behaviour; Impact; Resilience; and Governance sensitivity). The developmental differences between the two countries would possibly provide the reasons for the difference in focus: in the case of South Africa, the focus is service delivery due to developmental needs, whereas the Netherlands is in a more mature state of physical development, given a more personal focus of the competencies. It would also appear that the system used in the Netherlands would be more suitable for competency management purposes than the PMDS.

Table 4.4: A comparison between the competencies for the SPS and the CMCs for the SMS

SPS Cluster	SPS Competencies	CMC
Coherent governance	Vision of the future; target orientation; networking skills; leadership	Strategic capability and leadership
Problem solving	Information analysis; judgement; conceptual flexibility; resoluteness of purpose	Problem solving and analysis
Interpersonal behaviour	Listening skills; interpersonal sensitivity; flexible behaviour; collaborative skills	People management and empowerment
Operational effectiveness	Initiative; control; delegation; and fast interplay	
Impact	Oral communication; self-confidence; convincing power; and tenacity	Communication
Resilience	Energy; stress resistance; performance motivation; and learning capacity	
Governance sensitivity	Environmental awareness; governance affinity; integrity; and dedication	Honesty and integrity

Source: Bhatta (2001:200)

4.3.4 United Kingdom

The Senior Civil Service (SCS) in the United Kingdom (UK) has been in operation since 1996. Similar to the South African SMS, the SCS is subject to a common performance-appraisal system, based on a set of core competencies. The development of senior managers in the UK is being done within the context of a set of competencies that was finalised after several iterations and after being piloted for validation in 18 agencies (Bhatta, 2001:201).

The idea is to use the competency set to learn the behaviours and skills needed in leaders of the future and then to assess promising individuals accordingly. The aim is to use the competencies to develop a leadership profile for each promising candidate, so that individual-specific training and development interventions can be made (Bhatta, 2001:201).

The competency framework of the SCS is set out in **Table 4.5**, where it is compared to the CMC for the SMS.

TABLE 4.5: A comparison of the competency framework of the SCS with the CMCs of the PMDS

SCS Competency	SCS Key attribute	CMC of PMDS
Giving purpose and direction	Creating and communicating a vision of the future	Strategic capability and leadership
Making a personal impact	Showing the way forward; leading by example	Strategic capability and leadership
Getting the best from people	Inspiring people to give their best	People management and empowerment
Learning and improving	Drawing on experiences and new ideas to improve results	
Thinking strategically	Harnessing ideas and opportunities to achieve goals	Strategic capability and leadership
Focusing on delivery/ outcomes	Achieving value for money (VFM) and results	Programme and project management

Source: Bhatta (2001:201).

4.4 FINDINGS

Taking into account the concept of metacompetencies put forward by Meyer (1993:65) discussed earlier, it would appear that only the two CMCs of financial management and client orientation and customer focus are not, by their direct descriptions, metacompetencies. However, given that they are relatively broad descriptions of competencies, metacompetencies of various descriptions could probably be part of the particular CMC.

The competency of “thinking strategically” and being able to articulate a vision – and more importantly getting people to share that vision – is evident in the competency frameworks of all five countries. Bhatta (2001:202) maintains that this goes to the heart of what the senior manager in the public sector is expected to do.

Bhatta (2001:202) points out that a large part of what senior managers in the public sector are expected to do revolves around leading the change process and managing political relationships with ministers and other stakeholders. They need communication skills, business acumen and people-related skills, including relationship management. Communication skills are also evident in all five frameworks, as are people-related skills. However, business acumen/entrepreneurship is evident in all the frameworks, except that of South Africa.

Customer orientation, which is core foundation of NPM (Bhatta, 2001:202), is only present in the frameworks of the USA and South Africa. It is noteworthy that honesty and ethics are given a strong emphasis in all frameworks, except in the UK. Most interesting is the situation that personal drive and resilience are evident only in the frameworks of the USA, Australia and the Netherlands. Also of note is the issue of engaging risk and showing personal courage (exemplifying personal drive and integrity) in the framework of Australia, which would be somewhat contradictory to the CMC of financial management, which is a very restrictive and regulatory competency.

In the case of the Netherlands, it is also noteworthy that it has the competencies of energy, stress resistance, performance motivation and learning capacity as very specifically within the cluster of resilience. In the case of South Africa, there are no such “personal” competencies included in the PMDS, which would appear strange. As a member can choose to include such a competency, or to exclude it, such a competency would be valuable in a developmental situation such as South Africa is currently experiencing – and surely will for quite an extended period, given the diverse developmental states of the South African nation.

What is also noteworthy is that the applicable framework for South Africa was never piloted, as was the case with the UK and the USA, but rather accepted after negotiations. The South African system is also rather rigid in that the same competencies are applicable to all SMS members, irrespective of their specific functions or whether they are employed on a national or provincial level of government. The only option is that an individual SMS member may decide on what specific competencies are to be applicable to him/her, in addition to the three compulsory competencies of financial management, people management and empowerment, and client orientation and customer focus. As was indicated in Chapter 4, this situation could lead to a situation where a specific manager could choose certain CMCs that would benefit the individual for personal and specific reasons.

In general, the competencies used in the various international systems compare favourably, in that their wording or descriptions differ slightly, or have a slight change in focus. However, a major difference is the situation that, although some competencies would appear to be similar, in the case of the PMDS the primary focus is on output and meeting objectives. An example is the CMCs of people management and empowerment that would appear to be similar to the competencies of leading people (US), interpersonal behaviour (Netherlands) and cultivating productive working relationships (Australia).

However, an analysis shows that these are in fact focused on leading and developing the people compared to managing and encouraging people to

optimise outputs. The international systems would appear to focus more on inspiring people to give their best and thereby meet objectives. The competencies of team work and diversity (possibly also conflict management) do not feature in the PMDS, whereas they do in all the quoted international cases. Another aspect that is absent in the PMDS is competencies dealing with the manager's personal drive, commitment and resilience, whereas this is evident in the international examples.

The PMDS is mostly output-focused. The individual development plans will therefore also focus on this aspect in relation to the CMCs used, whereas the international systems are also used to determine leadership profiles of promising individuals. The training and development will then be individual-specific, whereas the training and development of SMS members are more generic and generalistic.

Although the competencies differ slightly in focus, this can possibly be attributed to the developmental state of the various countries. In the case of South Africa, the strong service delivery and customer focus orientation would be indicative of the disparities in developmental states of the various population groups as a consequence of the apartheid policies of the past.

Bhatta maintains that in the upper echelons of public service the central theme of senior manager competencies is leadership. Bhatta is also of the opinion that governments around the world are showing greater interest in using competencies to identify and target leadership behaviour and skills in their public services (2001:204). The question, therefore, arises whether the PMDS competencies are in fact leadership or purely management focused, and whether the PMDS will create leadership in managers to take their organisations forward to meet the needs of the people of South Africa.

4.5 CONCLUSIONS

The competency of thinking strategically and being able to articulate a vision and getting people to share that vision is evident in the competency frameworks of all five countries. This goes to the heart of what the senior manager in the public sector is expected to do.

Business acumen/entrepreneurship is evident in all the frameworks, except that of South Africa. This could be due to the customer and service delivery focus. However, given the developmental needs and limited resources available, this would appear strange. Perhaps the issue of innovation in the PMDS serves as a counter to this. This is perhaps also why customer orientation, which is a core foundation of NPM, is present only in the frameworks of the USA and South Africa.

In the case of South Africa, there are no “personal” competencies, as is the case of the Netherlands, where energy, stress resistance, performance motivation and learning capacity are very specific competencies within the cluster of resilience. Presumably this type of cluster/competency would not be very suited to the South African context at this stage, because of the diverse backgrounds of the current public managers referred to in Chapter 1. Some SMSs would probably have a definite advantage over others. However, as a member can choose to include such a competency, or to exclude it, such a competency would be valuable in a developmental situation such as South Africa is currently experiencing – and surely will for quite an extended period, given the diverse developmental state of the South African nation.

What is also noteworthy is that the applicable framework for South Africa was never piloted, but rather accepted after negotiations. Also, the South African system is rather rigid in that the same competencies are applicable to all SMS members, irrespective of their specific functions or whether they are employed on a national or provincial level of government.

In general, the competencies used in the various international systems compare favourably; however, a major difference is the primary focus of the PMDS on output and meeting objectives. The international systems would appear to focus more on inspiring people to give their best and thereby meet objectives.

It was also pointed out that governments around the world are showing greater interest in using competencies to identify and target leadership behaviour and skills in their public services. The question therefore arises whether the PMDS competencies are in fact leadership or purely management focused, and whether the PMDS will create leadership in managers to take their organisations forward to meet the needs of the people of South Africa.

In previous chapters the question of competence and competency was analysed. The CMCs used in the PMDS were also analysed, while the PMDS as a system was described and commented on. The CMCs used in the PMDS were also compared to international examples to provide context. However, the theme of this research is to determine whether the PMDS will develop leadership capabilities in SMS members that would enable them to take their organisations forward to deliver the necessary services.

The research findings will culminate in Chapter 5, where the CMCs will be analysed in terms of leadership focus by using the models put forward in Chapter 2. This would provide an indication of whether the PMDS will be able to develop leadership competencies in SMS members. It will also be assessed whether the CMCs will contribute to organisation development, as this will form the basis of SMS members leading their organisations forward to meet the needs of the people.

CHAPTER 5

ASSESSMENT OF THE CORE MANAGEMENT CRITERIA IN TERMS OF FOCUS ON LEADERSHIP AND ORGANISATION DEVELOPMENT

5.1 INTRODUCTION

In the preceding chapters competence and competencies were discussed and conceptualised. An analysis was also done to determine what competencies are management and leadership focused. The PMDS was also discussed and contextualised and compared to selected international systems in use in the respective civil services. In the process certain conclusions were drawn. This will lead into an assessment of the CMCs in terms of focus on leadership and organisation development in this chapter. The research findings will culminate in Chapter 6 [see end of previous chapter], where final conclusions will be drawn and recommendations made.

A point of view put forward in Chapter 2 was that the term “manager” refers to a person who plans, organises, directs and controls the allocation of human, material, financial and information resources in pursuit of the organisation’s goals (Hellriegel, 1999:7). It was then argued that, irrespective of their functional areas, what all managers have in common is responsibility for the efforts of a group of people who share a goal and access to resources that the group can use in pursuing its goal.

As was pointed out in Chapter 2, Hooper (2001:59) suggests that management is about planning, organising and controlling, which implies handling financial and material resources, as well as people, while leadership is about setting direction, aligning people – and motivating and inspiring them. Leadership, according to Hooper, is therefore purely about people and management is about control, predictability and short-term results, compared

to leadership being about the unlocking of human potential and working towards a more visionary future.

It was shown that some researchers make a clear distinction between pure management and leadership functions or activities, as the previous categorisation would indicate. The researcher is, however, of the opinion that this distinction is not that clear-cut. Whether leadership is a basic management function, or whether a manager has to perform various leadership roles, the essence is that this is not an either-or situation. The researcher supports the view of Hellriegel that leadership, in addition to entailing organising, planning and control, is also a basic management function.

Although some functions can be categorised as purely management functions, what must be borne in mind in the study of competencies is that some leadership would be expected from a manager so that the so-called purely management functions can be performed. Leadership competencies will, therefore, also be needed to be a successful manager, because in most basic management functions, as they have been defined traditionally, some or other leadership roles will have to be performed by managers to reach an objective. In short, the public manager of today has to lead people to reach an objective. This is in line with, as well as contradictory to the view of Pollitt and Bouckaert (2000:9) that a manager gets things done through people.

Whereas some researchers have taken the view that the manager, through his/her actions, manages to get things done through people, the essence is that a manager, through his/her leadership roles, gets things done through people. The manager still has to perform the basic management functions to meet objectives, but will have to use leadership competencies to get things done through people.

The question therefore arises whether the CMCs used in PMDS are management or leadership focused? To fulfil the mandates given to SMS members by the legislature and the executive authorities, SMS members will

have to transform their organisations to support effective and efficient delivery of services. The question therefore also arises whether the CMCs used in the PMDS will develop the necessary capabilities in SMS members to in fact assist with, or even lead, the transformation of their respective organisations.

5.2 THE CMC USED IN THE PMDS: LEADERSHIP OR MANAGEMENT FOCUSED?

5.2.1 Analysis

In the previous chapter the CMCs were compared to selected international examples. It was found that they are not that dissimilar to leading international systems. However, the central theme of this research is to determine whether the PMDS will be developing managers to be leaders who will be able to lead their organisations forward through change, or whether the managers are developed merely to be managers (in a purely administrative sense) and to maintain the status quo.

It was argued that leading is a basic management function and that the function of leadership, which has an emotional (humanistic) side, should be part of the make-up of all managers. It was also stated that Mintzberg (1975), Quinn *et al.* (1990) and Mintzberg (2000), maintain that leadership is one of the basic roles a manager has to perform. Mintzberg (1975:14) maintains that the influence of managers is most clearly seen in the leader role. He maintains that formal authority invests them with great potential power; leadership determines in large part how much of it they will realise.

The PMDS will have to develop competencies of public managers that will enable them to better fulfil their leadership roles. The question, therefore, arises: what qualities will be needed in public managers? Cox (1992:24-39) maintains that, after studying great leaders over many years, the salient qualities an effective leader will have are the following:

- Cultivating a high standard of personal ethics;

- High energy;
- Working priorities;
- Courage;
- Working hard with commitment and dedication;
- Going with the urge to create;
- Being goal oriented;
- Maintaining constant enthusiasm;
- Remaining level-headed;
- Helping others to grow.

Mintzberg (1975), Hellriegel (1999) and Mintzberg (2000) refer to various roles that a public manager has to perform. These distinctions are made between management and leadership roles, and these authors make no distinctions between the competencies needed to fulfil these roles. Quinn *et al.* (1990), however, identify various leadership roles that a manager has to perform to be an effective manager.

The work of Mintzberg (1975) and Mintzberg (2000), as well as Hellriegel (1999) adds value to the analysis of competencies needed and roles to be performed by public managers in general. However, as this is not the primary focus of this research, the work undertaken by Quinn *et al.* (1990) will be used as a basis for analysis of the CMCs in respect of management or leadership focus, as the framework focuses on the leadership roles of managers.

The CMCs will be analysed in terms of the CVF developed by Quinn *et al.* (1990) to determine whether the CMCs are predominantly management or leadership focused. Although the CVF will be used, reference will also be made, where necessary and relevant, to the work done by Mintzberg (1975), Hellriegel (1999) and Mintzberg (2000) in respect of the leadership roles expected of a manager.

For ease of reference, the following reference points are provided:

- The ten roles of a manager as described by Mintzberg (1975) are depicted in **Figure 2.2**;
- The leadership roles and their respective competencies as contained in the CVF are depicted in **Figure 2.3**;
- The managerial competencies put forward by Hellriegel (1995), are depicted in **Figure 2.4**.

The analysis of the CMCs in terms of the CVF to determine whether the focus is on management or leadership is set out in **Table 5.1**.

Table 5.1: Analysis of the CMC in terms of the Competing Values Framework

CMC	APPLICABLE LEADERSHIP ROLE AND COMPETENCIES
<p>1. Strategic capability and leadership</p> <p>Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisational mandate.</p>	<p>Leadership role: Director</p> <p>In the leadership role of Director, the manager is expected to clarify expectations through processes such as planning and goal setting, to be a decisive initiator who defines problems, selects alternatives, establishes objectives, defines roles and tasks, generates rules and policies and gives instructions Quinn <i>et al.</i> (1990:15).</p> <p>According to Quinn <i>et al.</i> (1990:25-53), the competencies needed are taking initiative; goal setting (direction and vision) on strategic level; delegating effectively, which provides more strategic time to managers and is the key to training and development of subordinates.</p> <p>The role of leader as a role of a manager features prominently in the work of Mintzberg (1975) and Mintzberg (2000).</p>
<p>2. Programme and project management</p> <p>Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes.</p>	<p>Leadership role: Coordinator</p> <p>In the role of coordinator, Quinn <i>et al.</i> (1990:84) maintain that the manager's task is to ensure that work flows smoothly and that activities are carried out with the minimum amount of conflict, according to their relative importance. The coordinator must ensure that the right people are at the right place, at the right time, to perform the right task, with the</p>

	<p>right physical resources in place.</p> <p>Quinn <i>et al.</i> (1990:85-117) put forward the following core competencies as planning (strategic, tactical and operational); organising (designing organisational structure and division of functions between members); controlling (analysing discrepancies between planned and actual performance).</p> <p>According to Hellriegel (1999), this would be a management function requiring the planning and administration competency. However, while part of this competency entails basic managerial functions, it also entails taking action through people to deliver outcomes.</p> <p>This would be in line with a combination of the view of Kotter (1992), for whom planning is a function of a manager and establishing direction is a leadership function.</p>
<p>3. Financial management</p> <p>Compiles and manages budgets, controls cash flow, institutes risk management and administers tender procurement processes in accordance with generally recognised financial practices in order to ensure the achievement of strategic organisational objectives.</p>	<p>Leadership role: None</p> <p>Budgeting and administering tender procurement processes would fit into the management competency of planning and administration, as put forward by Hellriegel (1999). This function would entail budgeting and financial management and as it merely entails adherence to rules and prescripts, it does not comply with leadership functions.</p> <p>This would also fit in with the view of Kotter (1992), who maintains that planning, budgeting and controlling are management functions.</p>
<p>4. Change management</p> <p>Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments.</p>	<p>Leadership role: Innovator</p> <p>Quinn <i>et al.</i> (1990:237-238) maintain that, in the role of innovator, the manager is provided with the unique opportunity to affirm the value of individual employees within the organisation through the use of creativity and the management of organisational changes and transitions. Quinn <i>et al.</i> further maintain that innovation and managed change make readiness and adaptability possible in society's increasingly changing conditions and demands (The manager is provided with the unique opportunity to affirm the value of individual employees within the organisation, through the use of creativity and the management of organisational changes and transitions. Innovation and managed change make readiness and adaptability possible in society's increasingly changing conditions and demands.</p>

	<p>The core competencies, according to Quinn <i>et al.</i> (1990:238-261), are living with change (dealing with change on a personal level and presenting the change to employees in a manner to enable them to adjust); creative thinking (complementary to critical thinking); and managing change (planned changes and adjustments to effectively fulfil the mission of the organisation).</p> <p>Kotter (1992) also supports this as a leadership function by stating that a leader produces change, often to a dramatic degree.</p>
<p>5. Knowledge management</p> <p>Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation.</p>	<p>Leadership role: Monitor</p> <p>Quinn <i>et al.</i> (1990:123) maintain that the manager is responsible for knowing what is actually going on in a work unit through the role of monitor. The manager must be able to keep track of the facts, analyse them and have a clear sense of what is of more immediate importance and what can be done later.</p> <p>Quinn <i>et al.</i> (1990:123-163) describe the core competencies of the monitor role as reducing information overload (tracking and transmitting of information); analysing information and critical thinking; and presenting information and writing effectively.</p>
<p>6. Service delivery innovation</p> <p>Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals.</p>	<p>Leadership role: Coordinator</p> <p>In the role of coordinator, Quinn <i>et al.</i> (1990:84) maintain that the manager's task is to ensure that work flows smoothly and that activities are carried out with the minimum amount of conflict, according to their relative importance. The coordinator must ensure that the right people are at the right place, at the right time, to perform the right task, with the right physical materials in place.</p> <p>Quinn <i>et al.</i> (1990:85-117) put forward the following core competencies as planning (strategic, tactical and operational); organising (designing organisational structure and division of functions between members); controlling (analysing discrepancies between planned and actual performance).</p> <p>Kotter (1992) also views this as a leadership function, as it establishes direction and aligns people.</p>
<p>7. Problem solving and analysis</p> <p>Systematically identifies, analyses and resolves existing and anticipated problems</p>	<p>Leadership role: None</p> <p>According to Kotter (1992), problem solving is a management function.</p>

<p>in order to reach optimum solutions in a timely manner.</p>	<p>The researcher would concur with this, as problem solving and analysis would be needed in every aspect of functioning as a manager. The description as put forward in the PMDS does not imply leading others to perform this and it is therefore focused on the individual being capable to identify, analyse and resolve problems.</p>
<p>8. People management and empowerment</p> <p>Manages and encourages people, optimises their outputs and effectively manages relationships in order to achieve organisational goals.</p>	<p>Leadership role: Mentor</p> <p>Quinn <i>et al.</i> (1990:166) state that in the role of mentor, the manager reflects a caring, empathic orientation. In this role the manager is expected to be helpful, considerate, sensitive, approachable, open and fair. In acting this role, the leader listens, supports legitimate requests, conveys appreciation and gives recognition. Employees are to be understood, valued and developed.</p> <p>The core competencies of the Mentor role, according to Quinn <i>et al.</i> (1990:167-195), are understanding yourself and others; interpersonal communication; and developing subordinates.</p> <p>Kotter (1992) maintains that motivating and inspiring people are leadership functions.</p>
<p>9. Client orientation and customer focus</p> <p>Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (<i>Batho Pele</i>) into practice.</p>	<p>Leadership role: None</p> <p>This would be similar to the management competency of strategic action put forward by Hellriegel (1999), which entails understanding the overall mission and values of the organisation and ensuring that actions taken are aligned with this. This would need understanding the industry (clients), the organisation and taking actions.</p>
<p>10. Communication</p> <p>Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.</p>	<p>Leadership role: Broker</p> <p>The manager is the person who presents and negotiates new ideas put forward by the manager as an innovator.</p> <p>The core competencies are building and maintaining a power base; negotiating agreement and commitment; and presenting ideas and effective oral presentations.</p> <p>Mintzberg (1975), Hellriegel (1999) and Mintzberg (2000) view communication as a management function.</p>
<p>11. Honesty and integrity</p> <p>Displays and builds the highest standards</p>	<p>Leadership role: None</p> <p>Hellriegel (1999: 25) categorises honesty and</p>

<p>of ethical and moral conduct in order to promote confidence and trust in the public service.</p>	<p>integrity as a self-management competency, which is a management competency. This entails taking responsibility for the life at work and beyond that. Hellriegel maintains that integrity and ethical conduct; personal drive and resilience; balancing work and life issues; and self-awareness and development are the dimensions of this competency.</p> <p>The researcher is of the opinion that the self-management competency, with the accompanying dimension of the competency, should be both a management and a leadership competency, as honesty and integrity can never only be classified as a management function.</p> <p>The fact that the CMC refers to “displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service”, would indicate that it would be internal to the manager/leader, as well as actions to encourage others to do the same by following the leader’s example. This would also be a competency needed by every public servant and not only SMS members.</p>
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From the above, it would appear that the following CMCs, with their corresponding leadership roles as stated in the CVF put forward by Quinn *et al.* (1990), are leadership-focused:

- Strategic capability and leadership - Director;
- Programme and project management - Coordinator;
- Change management - Innovator;
- Knowledge management - Monitor;
- Service delivery innovation - Coordinator;
- People management and empowerment - Mentor;
- Communication - Broker.

The following CMCs, according to the CVF put forward by Quinn *et al.* (1990), are management-focused:

- Financial management;
- Problem solving and analysis;

- Client orientation and customer focus;
- Honesty and integrity.

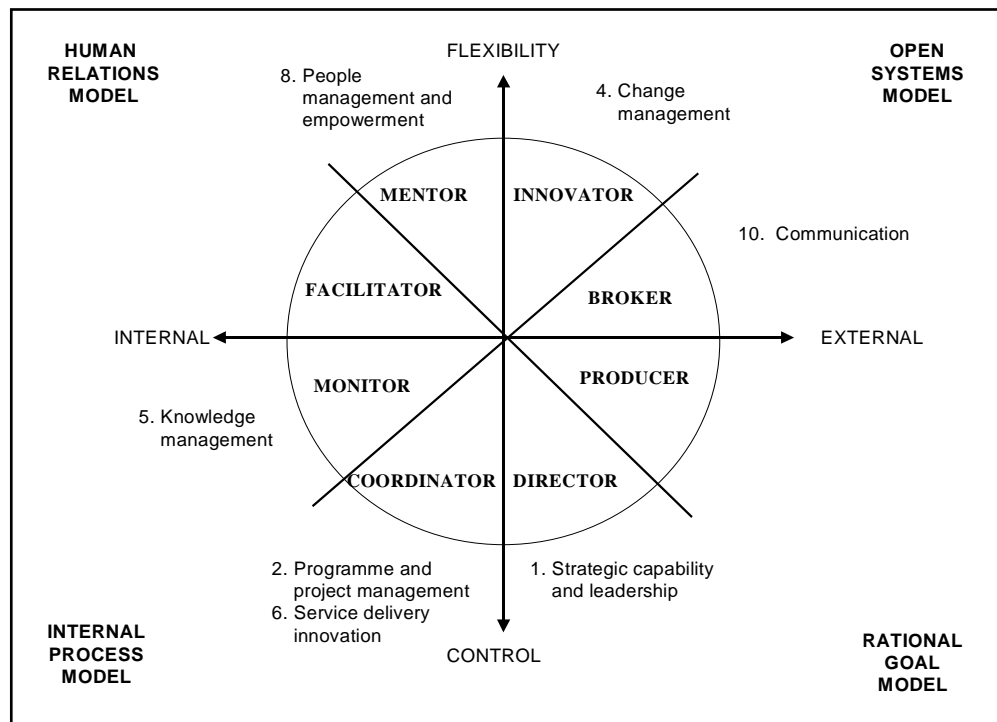
The two leadership roles that are not present in the PMDS are the roles of Producer and Facilitator. These roles, with their respective core competencies are:

- **Producer:**
In this role the manager is expected to be task oriented, work focused and highly interested in the task at hand. The manager as producer is also expected to exhibit high degrees of motivation, energy and personal drive. The competencies needed are personal productivity and motivation; motivating others; and time and stress management (Quinn *et al.*, 1990:54-83).
- **Facilitator:**
In this role, the manager fosters collective effort, builds cohesion and morale, and manages interpersonal conflict. Some of the same competencies as the mentor are used, such as listening and being empathetic and sensitive to the needs of others. The role of facilitator, however, centres on the manager's work with groups. The competencies needed are team building; participative decision-making; and conflict management (Quinn *et al.*, 1990:197-236).

Each of the models used in the CVF, has a perceptual opposite. The Human Relations Model, defined by flexibility and internal focus (people are inherently valued), stands in stark contrast to the Rational Goal Model, which is defined by control and external focus (people are of value only if they contribute greatly to goal attainment). The Open Systems Model, defined by flexibility and external focus (adapting to the continuous changes in the environment), runs counter to the Internal Process Model, defined by control and internal focus (maintaining stability and continuity inside the system) (Quinn *et al.*, 1990:11).

In **Figure 5.1**, the Framework from Figure 2.3 is used to illustrate the focus of the PMDS in terms of leadership roles, linked to the CMCs. In this Figure the competencies used in the CVF are substituted with the CMCs used in the PMDS for purposes of analysis.

Figure 5.1: Focus of the PMDS in terms of leadership roles linked to the CMCs



(Adapted from Quinn *et al.*, 1990)

With one role of monitor (knowledge management) and two roles of coordinator (programme and project management and service delivery innovation), the PMDS has a predominant focus on control and internal focus (maintaining stability and continuity inside the system), as defined by the Internal Process Model. With the roles of innovator (change management) and broker (communication), the PMDS also has a focus on flexibility and external focus (adapting to the continuous changes in the environment), which is the direct opposite of the Open Systems Model.

The PMDS has one role of director (strategic capability and leadership), which is characterised by a focus on control and external focus (people are of value

only if they contribute greatly to goal attainment) of the Rational Goal Model. The PMDS also has one role of mentor (people management and empowerment) as an opposite to the role of director. The role of mentor is characterised by flexibility and internal focus (people are inherently valued), as defined by the Human Relations Model.

The question of what type of leadership is instilled by the PMDS could also be posed. It would be impossible to deduce a specific type of leadership from merely analysing a set of competencies, because the actions of the manager as leader will have to be analysed to determine the style of leadership. For the sake of completeness, the following predominant styles of leadership are provided (Belasen, 2000:412-413):

- **Laissez-faire leader**

This type of manager is a non-transactional leader who abdicates responsibility, avoids decision-making, is indecisive, uninvolved, disorganised and an isolationist. This passive orientation is undesirable, unacceptable and pathological.

- **Passive management by exception**

This type of leadership has a wider range of acceptance but with ineffective monitoring capabilities. Although not as passive as the laissez-faire manager, the style of this manager is still quite reactive in responding to external stimuli. This leader waits for problems to occur, reacts to mistakes and reluctantly gets involved in solving the problems. He or she is a status-quo leader who would change only if necessary. This manager is a believer in the axiom of “If it ain’t broke, don’t fix it.”

- **Active management by exception**

The more active style of managing by exception involves a leader who selectively pays attention to deviations and emergencies, and is more concerned about making sure “things are under control.” Behaviours and actions therefore involve setting standards, monitoring and taking steps to correct mistakes and solve problems. This is a retrospective (rather than prospective) attitude, which focuses on attention to

irregularities and non-routine problems that require intervention via direct supervision.

- **Transactional leadership**

The transactional leader is one who exchanges rewards for performance and who sets goals and clarifies the path to achieve these goals. This model of leadership is constructive in the sense that the manager negotiates and agrees with employees about their responsibilities, the measurement of their performance and the inducements they receive. Unlike the previous styles, this one sets the parameters for the workflow and the results of the work, and gives recognition to employees when they meet predetermined targets.

- **Transformational leadership**

Transformational leaders have inner capabilities that distinguish them from all other leaders. These capabilities include individual consideration, intellectual stimulation, inspirational motivation and idealised influence.

Given the findings of this research thus far, it could well be that the transactional style of leadership would be the best suited to the purpose of the PMDS as being an output-focused system. This does not mean that the transformational style of leadership will be absent. In all probability, a combination of both will be the norm. However, the individual SMS member will determine what leadership style is predominant.

5.2.2 Findings

The analysis of the CMCs in terms of leadership or management focus shows that the CMCs of strategic capability and leadership; programme and project management; change management; knowledge management; service delivery innovation; people management and empowerment; and communication are leadership-focused. In contrast to this, the analysis shows that the CMCs of financial management; problem solving and analysis; client orientation and customer focus; and honesty and integrity are management

focused. The CMCs could thus also support the development of all the leadership roles contained in the CVF (Quinn *et al.*, 1990) to a lesser or greater degree, with the exception of the roles of producer and facilitator.

A comparative analysis of the CMCs with the competencies in the CVF of Quinn *et al.* (1990) showed that the two leadership roles of producer and facilitator are not present in the PMDS. In the role of producer the manager is expected to be task oriented, work focused and highly interested in the task at hand. The SMS member as producer is also expected to exhibit high degrees of motivation, energy and personal drive. The competencies needed are personal productivity and motivation; motivating others; and time and stress management (Quinn *et al.*, 1990:54-83). In the contrasting role of facilitator, the manager fosters collective effort, builds cohesion and morale, and manages interpersonal conflict. The role of facilitator centres on the manager's work with groups and the competencies needed are team building; participative decision-making; and conflict management. Some of the same competencies as the mentor are used, such as listening and being empathetic and sensitive to the needs of others.

The conclusion can therefore be drawn that the roles of producer and facilitator, with their respective competencies, are not strengthened by the PMDS. This would also be in line with the conclusions drawn in Chapter 4, that, when compared to international cases, the PMDS does not have the competencies related to these roles, whereas the international systems do.

It is noteworthy that the two roles of producer and facilitator that are absent from the PMDS are direct opposites in the CVF. Not having CMCs that support these two leadership roles could mean that, in terms of the two applicable leadership roles, the PMDS could possibly be developing managers that do not develop the competencies linked to the two roles. These managers could therefore possibly not formally develop the competencies of:

- Personal productivity and motivation;
- Motivating others;

- Time and stress management;
- Team building;
- Participative decision making;
- Conflict management.

In terms of this lack of focus, the PMDS could therefore formally develop managers who:

- Are not expected to exhibit high degrees of motivation, energy and personal drive (Quinn *et al.*, 1990:54); and
- Would not foster collective effort, build cohesion and morale and manage interpersonal conflict (Quinn *et al.*, 1990:197).

In Chapter 5 it was found that the PMDS has a predominant focus on control and internal focus (maintaining stability and continuity inside the system), as defined by the Internal Process Model (one role of monitor and two roles of coordinator). It was also found that the PMDS has a focus on flexibility and external focus (adapting to the continuous changes in the environment), which is the direct opposite as defined by the Open Systems Model (the roles of innovator and broker).

It was concluded in Chapter 4 that the PMDS is more output-focused, whereas the international systems are focused on inspiring people to give their best and thereby meet objectives. The CVF was also not used to analyse the international cases discussed in Chapter 4 in terms of leadership roles. However, after the comparative analysis in Chapter 4, it was concluded that the competencies dealing with team work and diversity (possibly also conflict management) and the competencies dealing with the manager's personal drive, commitment and resilience were absent from the PMDS, although present in the international cases. These competencies are also linked to the leadership roles of producer and facilitator, which would make the absence of these roles in the PMDS remarkable.

This conclusion is supported by the conclusions drawn from comparing the PMDS with the international systems in Chapter 4, where both these sets of competencies are absent from the PMDS, and thereby also the leadership roles, but they are part of the international systems. What must be stressed, however, is that this does not mean that managers do not already possess these competencies, or that they will not develop these competencies themselves through outside development and studies. It merely means that it could well be that these competencies are not *formally* developed in the PMDS.

The conclusion drawn in Chapter 3, namely that the system can be manipulated by SMS members by not including certain CMCs in their respective personal (individual) development plans, could also mean that these competencies will never be formally included in an individual SMS member's PA and also not stated as developmental needs in a personal development plan. It could well happen that they are indirectly dealt with through other CMCs. However, given the importance of these competencies, the fact that they are not formally included in the PMDS is a defect in the system.

In Chapter 3 it was concluded that the PMDS is predominantly output-focused. It was also pointed out that the SPMS cascades down from the PAs of SMS members. It was therefore concluded that it could well happen that these are inadvertently "skewed" due to manipulation of the system to meet outputs that are included in the PAs of SMS members. This could well lead to managers only using leadership styles of passive management by exception, active management by exception, or transactional leadership, as the primary objective is to meet targets.

It could well happen that the style of transformational leadership is not instilled in SMS members. This could lead to managers not being that focused on changing their organisations, but only on maintaining the status quo and making adjustments where necessary to meet their stated objectives. This

could be supported by the conclusion drawn in Chapter 3, namely that managers could manipulate the PMDS to ensure that stated outputs are met.

Lakomski (1995:211) makes the distinction that transformational leadership develops and empowers followers. Transactional leadership, in contrast, is characterised by an exchange of valued things. Unlike transformational leadership, transactional leadership implies neither a binding nor relevant relationship of mutual engagement. It rather meets the requirement of providing the satisfaction of basic needs and granting intrinsic rewards, such as pay status, as the main motivation for action. Given that the PMDS is a performance-based system that rewards outputs, it is debatable whether the system will create transformational leadership qualities in SMS members. The basis of the system is rewarding SMS members for attaining goals and objectives.

In Chapter 1 it was pointed out that, because of environmental changes, frequent internal and structural changes have been necessitated to enable institutions to adapt to environmental and political changes. It was also maintained that Organisation Development (OD) is one of the primary means of creating more adaptable organisations and that today's managers need a new mindset - one that values flexibility, speed, innovation and the challenge that evolves from constantly changing conditions (Harvey, 2001:8).

SMS members will have to be transforming leaders who are willing to learn continuously. They will need specific competencies to enable them to manage and lead their organisations effectively into the future, while maintaining and even improving effectiveness and efficiency.

The question, however, arises whether the CMCs would develop managers that would strategically lead their organisations to continuously adapt to fulfil their mandates. This will be analysed in the next section, where the CMCs will be analysed in terms of their contribution towards the creation of learning leaders, OD and organisational transformation (OT).

5.3 CONTRIBUTION OF THE CMCs TOWARDS ORGANISATION DEVELOPMENT

5.3.1 Analysis

Section 195(1)(b) of the Constitution of the Republic of South Africa (1996) determines that public administration must ensure efficient, economic and effective use of resources. To give effect to this, SMS members will have to ensure that their organisations are doing the same things better or differently, or doing new things. SMS members will therefore have to be creative and innovative in their endeavours to ensure that more is done with the same, or even fewer, resources. While doing this, SMS members will be expected to address ever-increasing challenges, with limited resources, or even resources that are decreasing as a result of changes in spending priorities.

Heifetz (2000:2) maintains that the current crisis facing the world in general may have more to do with the scale, interdependence and perceived uncontrollability of modern economic and political life. This also holds true for the South African context, with its rapid changes over the past decade. He further maintains that we tend to look for the wrong kind of leadership in a crisis. We call for someone with all the answers and a map of the future, someone who knows where we ought to be going. In short, we look for someone who can make hard problems simple. Heifetz maintains that, instead of looking for saviours, we should be calling for leadership that will challenge us to face problems for which there are no simple, painless solutions – problems that require us to learn new ways.

Peters and Waterman (1982:206) refer to creativity as thinking up new things, while innovation is doing new things. SMS members will therefore have to be both creative and innovative in their endeavours to ensure that more is done with less, or the same, resources. Simply put: they will have to be creative and

innovative, as resources are restricted due to developmental pressures and the fact that old styles of organisation and management no longer work.

Cox (1992:24-39) maintains that some salient qualities of an effective leader are having courage, going with the urge to create, maintaining constant enthusiasm and helping others to grow. As a result of the transformation processes taking place in the public sector in South Africa, SMS members will therefore have to possess these salient qualities to enable them as leaders to transform their organisations. Hooper (2001:62) maintains that the growing realisation today is that people have to be “transformed” or have to “transcend”, as a result of the practical implications of the speed of change. He therefore equates transformational leadership with transcendent leadership.

The transforming leader is critically involved in envisioning, communicating and creating an improved vision for him/herself and the organisation (Anderson, 1992:72). SMS members will also need a well-defined mission, purpose, values, goals and strategies that are based upon a deep understanding of the people and aims that are being served, and a clear understanding of the cultural, political and economic environment surrounding the changes being attempted.

What is therefore expected of SMS members is to be leaders in transforming their organisations. The PMDS will have to develop them to become transformational leaders. They will have to develop the individual *capabilities* of transformational leaders that include individual consideration, intellectual stimulation, inspirational motivation and idealised influence (Belasen, 2000:413). The PMDS will also have to develop the following *characteristics* of transformational leaders (Bass cited in Lakomski, 1995:213):

- **Charisma**

They are highly trusted and followers want to identify with and emulate the leader.

- **Inspirational motivation**

The leader uses symbols and appeals to the followers' emotions to reinforce awareness and understanding in the pursuit of shared goals.

- **Intellectual stimulation**

Encourages followers to question old ways of doing things, and their values and beliefs, and to think of new ways to meet challenges.

- **Individualised consideration**

Followers are helped to meet challenges and to become more effective in attaining goals. Learning opportunities are provided.

These capabilities and characteristics would create a situation where followers would want to follow the manager who inspires them by his/her leadership. The capabilities also link up with the salient qualities of a leader put forward by Cox (1992). The following characteristics of charismatic leaders put forward by (Belasen, 2000:384) link up with the transformational leadership characteristics stated by Bass (1995:213):

- Having a long-range perspective, envisioning and generating excitement in followers;
- Energising people through role modelling
- Influencing people's attitudes and enabling them to challenge goals innovatively;
- Inspiring trust.

These characteristics also encapsulate the characteristics of innovation, visioning, inspiring and energising followers and inspiring trust, and the leader instilling a culture of learning by creating opportunities to learn (intellectual stimulation).

The leadership characteristics of trust and learning are, in the opinion of the researcher, the most relevant in determining whether SMS members will be able to transform their organisations to be able to respond to change continuously. SMS members will have to instil a culture of trust and to be learning leaders.

The following cardinal principles are applicable to a trust relationship between leaders and followers (Handy, 1997:187-194):

- **Trust is not blind**

It is normal to trust people that you know and know well. Make an organisation larger, or make changes too frequently and the organisation starts to replace trust with systems of control.

- **Trust needs boundaries**

Unlimited trust is, in practice, unrealistic. By trust, organisations mean confidence – a confidence in someone's competence and their commitment to a goal. The parts can be trusted to look after themselves, bonded only by a common ethos and tradition.

- **Trust requires constant learning**

An organisational architecture made up of relatively independent and constant groupings, pushes the organisation towards the ability to change when circumstances demand it. This requires groups to keep abreast of changes by constant learning to be capable of self-renewal. Learning, however, is dependent upon trust, as it can be inhibited by fear. It requires unconditional support and forgiveness for mistakes, provided the individual concerned has learned from the mistakes.

- **Trust is tough**

Handy (1997) refers to trust as being like glass: once it has been broken, it can never be the same again. One trust is misplaced, not necessarily because people are deceitful or malicious, but because they do not live up to expectations, or cannot be relied upon to do what is needed, then those people must go or their boundaries become severely curtailed.

- **Trust needs bonding**

Self-contained units, responsible for delivering specific results, are the building blocks of an organisation based on trust. However, long-lasting groups of people who trust one another can create their own problems, characteristic of those of organisations within organisations. For the whole to work, the goals of the bits have to gel with the goals of the

whole. The use of vision and mission statements is one attempt to deal with this. However, if these initiatives are imposed from the top, they can boomerang. They then become the equivalent of the compulsory school song – more mocked than loved.

- **Trust needs touch**

Visionary leaders, no matter how articulate, are not enough. A shared commitment still requires personal contact to make the commitment feel real. This is especially important where distance is increasingly being created between management and workers, through the use of electronic communication.

- **Trust has to be earned**

This principle is the most obvious and yet the most neglected. Organisations who expect their people to trust them, must first demonstrate that they are trustworthy. Likewise, individuals will not be trusted fully until they have proved that they can deliver. A culture of mutual trust is easier to create within the boundaries of a single organisation with the same goals. This becomes more difficult when there are organisations within organisations, as the internal functioning of the business could become adversarial and complicated.

Belasen (2000:292) maintains that learning becomes an ongoing part of any member's commitment to the value of continuous improvement to support organisational capabilities. SMS members will therefore have to be "learning managers" to energise people through role modelling, influencing people's attitudes, enabling them to challenge goals innovatively and to inspire trust. They will have to, in the words of Senge (1990:340), be "designers, stewards and teachers", to build organisations where people are continually expanding their capabilities to understand complexity, clarify vision and improve shared mental models. In this way, they will be responsible for learning.

There has been a move away from solo leadership to team leadership as people have become more empowered due to managers allowing their power to be eroded by flatter structures of organisations (Hooper, 2001:63).

According to Hooper, this has led to learning. Empowerment, however, only refers to the leadership role of the mentor in terms of the CVF put forward by Quinn *et al.* (1990), which would imply an individual focus where the organisation as a whole is not the primary focus. Beam (cited in Belasen, 2000:295) states that companies can be changed, or transformed, only when employees have acquired the knowledge (this would imply learning has taken place) and skills they need to take command of their careers (this would imply empowerment) and to see how their own work contributes to the larger work of their companies.

Organisational learning requires knowledge management and the transfer of information that requires facilitation competencies and understanding of all facets of organisational behaviour, processes and outputs (Belasen, 2000:340). This would require managers to perform the role of facilitator in terms of the CVF, where managers as leaders become strategic opportunists, globally aware, interpersonally competent, sensitive to issues of diversity and be community builders.

Anderson (1992:73) maintains that the transforming leader has working knowledge and skills in the areas of human development, organisation development, interpersonal communication, counselling, consulting and problem management/solving. The CMCs do not cover organisation development, while counselling and consulting are implied by the CMCs focused on human development and empowerment.

DuBrin (1995:5) feels strongly that leaders affect organisational performance and that leaders bring about change through their actions and personal influence. Nanus & Dobbs (1999:137) similarly feel strongly that making the right changes at the right time to improve organisational effectiveness is what leadership is all about. Leaders tend to be the change agents and they should be extremely sensitive to opportunities for change. Nanus further maintains that the leader, as the principle agent of change, should be able to perform the following tasks:

- Create an entrepreneurial climate

- Develop strategic alliances
- Define reality
- Get everyone into the act
- Keep an eye on the prize
- Make timely decisions

Nanus & Dobbs (1999:137) further maintain that the prime responsibility of a leader is to define reality, as the greatest enemy of change is the tendency to perpetuate the present and thereby implicitly to deny a change is needed. The leader then has to identify the need for change and to create a sense of urgency for it. This would be in line with the principle of “systems thinking” propagated by Senge (1990:344), as managers need insight into the “current reality”, as well as a picture of the future (vision) toward which they are moving. Senge (1990:150) refers to this gap between the vision and the current reality as the “creative tension”. He further maintains that this “gap” is *the* source of creative energy and that “learning” in this context does not mean acquiring more information, but expanding the ability to produce the results we truly want in life (Senge, 1990:142). SMS members will therefore have to instil a culture of personal mastery, where members are in a continual learning mode.

In the South African context, with its diverse developmental needs, SMS members will have to lead the way in the field of organisational learning, by defining and dealing with the reality within a constantly transforming civil service. The unfolding of public sector reform also provides an important clue to the synergistic linkage of transformation management and organisation development, where the total of the whole adds value in such a way that it represents more than the sum of the constituting parts (Schwella, 1999:352).

Organisations as a whole, as well as the various composite parts, will have to adapt, to adjust to changes taking place within their environments. Since the environment is composed of systems outside of the immediate influence of the organisation, the organisation must attempt to adapt itself to these forces

by introducing internal changes that will allow the organisation to be more effective (Harvey & Brown, 1996, 31). This entails the bridging of the gap between the current reality and the vision, as put forward by Senge (1990).

What will be needed is organisation renewal, which is an ongoing process of building innovation and adaptation into the organisation. This renewal is an approach to prevent corporate entropy, which implies that everything that is organised will break down or run down unless it is maintained (Harvey & Brown, 1996:31).

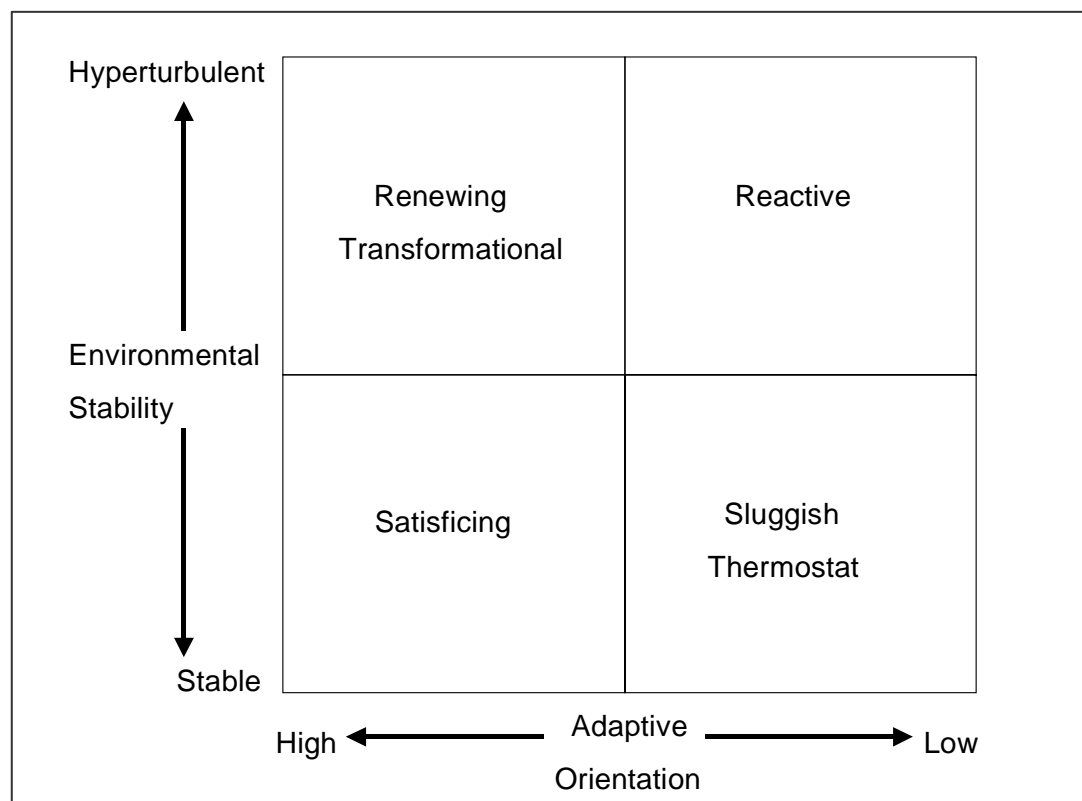
SMS members will have to play leadership roles within their organisations, as the organisation must have enough stability to continue to function satisfactorily and still prevent itself from becoming too stagnant to adapt to changing conditions. Both stability and adaptation are essential for continued survival and growth (Harvey & Brown, 1996:32). The current South African economy is characterised by a turbulent environment and SMS members will have to ensure that their organisations do not remain static, but devise methods of continuous self-renewal. Peters (cited in Harvey & Brown, 1996:45) argues that excellent firms do not believe in excellence – only in constant improvement and constant change. SMS members will have to be capable of recognising when it is necessary to adapt or change their organisations and must develop the ability to implement change when needed.

Miller (cited in Harvey & Brown, 1996:33) argues that some organisations resist change until a critical stage of incongruence is reached, at which point a “quantum” change occurs. This transformational change stands as an opposite to gradual change. As transformational change will entail renewal, SMS members will have to be creative (thinking up new things), as well as innovative (doing new things) with the same limited resources. The manner in which their respective organisations will adapt will depend upon the adaptive orientation they, as learning leaders within learning organisations, instil in their own organisations. Will they adapt only when forced to, or will they adapt to remain effective in a changing environment? Peters (cited in Harvey & Brown,

1996:97) proposes that in today's management, the old saying of "If it ain't broke, don't fix it" should be modified to "If it ain't broke, you just haven't looked hard enough. Fix it anyway." This attitude of continuous evaluation of the current situation, compared to the future ideal position, would be the composite characteristic of the SMS member who is adept at not merely maintaining the current reality.

The adaptive orientation of every SMS member is therefore of paramount importance. A simplified model of adaptive orientation is set out in **Figure 5.2**.

Figure 5.2: A model of adaptive orientation in organisations



(Harvey & Brown, 1996:33)

One dimension represents the degree of change in the organisation's environment and the second represents the degree of adaptiveness or flexibility present in the internal orientation of the organisation. Harvey & Brown (1996:33) maintain that organisations can vary greatly on the

dimensions and the various combinations of these orientations can lead to differing adaptive styles.

Harvey & Brown (1996:33-35) maintain that, according to this model, organisations can have the following possible orientations towards change:

- **Sluggish-thermostat management (Stable environment, low adaptation)**

Miller (cited in Harvey & Brown, 1996:33) originated this term, describing organisations that resist change until cost trade-offs favour it. Some “thermostats” are set so low that organisations become insensitive to change. Sluggish management refers to a style of management based on low risk, with formalised procedures and a high degree of control. Organisations that are characterised by sluggish management have very stable goals and a highly centralised structure. They also have more management levels and a higher ratio of superiors to subordinates. There may also be a tendency to continue doing things the way as they have always been done. They also value seniority to performance and have an aversion to new ideas. In short, it is a low-risk style of management.

- **Satisficing management (Stable environment, high adaptation)**

This depicts management that is adequate and average – hence the play-off of the word “satisfactory”. The management style is a more centralised manner of decision-making, with problems being referred to the top. The stable environment strengthens more levels of management, with coordination done by formal committees. Planning and decision-making are usually centralised at the top, with high levels of clarity on procedures and roles. Change is only accomplished at a state that is “good enough” to keep up with the environment pressures – however, as there is no renewal, they will always be catching up. They tend to accept strategies that are “good enough” because of low levels of pressure from the environment.

- **Reactive management (Hyper-turbulent, low adaptation)**

This orientation refers to taking actions “after the horse has bolted”. It is characterised by reactions to stimuli after conditions in the environment have changed. It is a short-term, crisis-type of adaptation, often involving replacement of key personnel, hasty reorganisation and drastic cuts in people and resources. It usually entails taking drastic action after problems can no longer be ignored – a knee-jerk reaction in taking drastic, corrective measures.

- **Renewing/transformational management**

This orientation refers to introducing change to deal with future conditions before these conditions actually occur. Programmes of innovation are initiated (changes made) before conditions become critical.

SMS members, as senior managers, should be the change agents to determine whether their respective organisations are able to adapt to the environment while still being effective. They will have to strengthen their competencies themselves, or the PMDS will have to develop these competencies in them, to view change as an opportunity for growth, or an increase in the state of organisational entropy – an inability to respond to change constructively. SMS members will have to be able to identify when the necessity arises, or when it is opportune, to initiate change in their organisations. SMS members will have to decide whether they are managers who adhere to the sluggish-thermostat management style, the satisficing management style, the reactive management style, or the renewing/transformational management style.

SMS members, to ensure that their individual components and organisations are effective, will also have to take into account that their organisations and individual components are parts of the same system. The organisation, although it consists of a set of interrelated parts organised to meet the same purpose or goal collectively, is there to meet the needs of its clients. Harvey & Brown (1996:37) maintain that any organisation as a system (and that would

include individual components that are related to the whole) interacts with its environment and continuously receives feedback that enables it to adjust. SMS members will therefore have to use this feedback to anticipate both the immediate and far-reaching consequences of changes to their organisations.

Harvey & Brown (1996:38-40) maintain that the various organisational functions and processes should not be considered as isolated elements, but as parts reacting to and influencing other system elements. Because all processes are related, any change in one process of the organisation will have effects throughout the organisation. According to Harvey & Brown, the organisation consists of the following five components that make up the open system:

- **The structural subsystem**

This includes the formal design, policies and procedures, set forth in the organisation chart and includes patterns of authority and division of work.

- **The technical subsystem**

This includes the primary functions, activities and operations, including the techniques and equipment used to produce the output of the system.

- **The psychosocial subsystem (culture)**

This includes the network of social relationships and behaviour patterns of members, such as norms, roles and communications.

- **The goals and values subsystem**

This includes the basic mission and vision of the organisation and might include profits, growth or survival. The goals and values are often taken from the larger environment.

- **The managerial subsystem**

This subsystem spans the entire organisation by directing, organising and coordinating all activities towards achieving the basic mission. This managerial function is important in integrating the activities of the other subsystems.

The role of the SMS member is therefore central in the whole system. This would indicate the prominent role that he/she can and will have to play in effecting changes needed to maintain and improve the organisation's effectiveness. The SMS member will have to manage the change process to ensure that organisational transformation (OT) and organisation development (OD) take place. Harvey & Brown (1996:44) maintain that OT refers to actions taken to change the organisation form, shape or appearance, or changing the organisation energy from one form to another. It thus focuses on unplanned changes from within the system in response to crises and lifecycle considerations. They transform the very framework and assumptions of an organisation by significant changes introduced in short, almost immediate timeframes. OD, on the other hand, focuses more on planned changes on a large scale, over a longer time frame and on a more gradual basis.

SMS members will therefore have to possess, or develop the competencies, to constantly transform/renew the individual subsystems within the organisation as an open system, in response to pressures from within the organisation, or from the environment. SMS members will have to be the change agents to effect organisation transformation and development, in order to increase individual, team and organisation effectiveness.

Harvey & Brown (1996:44-46) maintain that change efforts to increase effectiveness can focus on:

- **Individual effectiveness**

An organisation is made up of individual members, each with their own unique values, beliefs and motivations. Creating a culture that achieves organisation goals and at the same time satisfies members' needs can increase organisation effectiveness. The individuals need to be empowered through activities that are designed to improve skills, abilities or motivational levels. The change efforts may also be directed toward improved leadership, decision making or problem solving among members.

- **Team effectiveness**

The change efforts may also focus on the fundamental or primary unit of an organisation, the team or work group, as a means for improving the effectiveness of the organisation. These activities are designed to improve the operations of work teams and may focus on task activities (what the team does), or team process (how the team works and the quality of relationships among team members). More effective teams may increase work motivation, improve performance, and decrease turnover and absenteeism.

- **Organisation effectiveness**

The change efforts may aim at improving organisation effectiveness by structural, technical or managerial subsystem changes. The objective of such system-wide operations would be to increase the effectiveness, efficiency and the morale of the total organisational functioning. Although these planned change efforts are aimed at improving the overall goal attainment of the system, each has a specific focus for the change programme. OD may involve individual, group and intergroup approaches, but it becomes OD only when the total system is the target or focus for the change programme.

In all three focus areas there is a relationship between the level of employee participation in the change and the success of the change programme (Colvin, cited in Harvey & Brown, 1996:45). These change efforts should also be holistic, as attempts to only change people, only technology, or only structure are likely to meet resistance or failure (Friedlander, cited in Harvey & Brown, 1996:45). Senge (1990:344) states that managers need insight into the “current reality” and this will have to link up with their visions of the future of their organisations. Nanus (1999:137), similar to Senge, maintains that the leader, as the principal agent of change, should be able to perform the task of defining reality. The current situation (reality) would appear to be critical, to start with the process of taking the organisation forward, by initiating changes, with the necessary support and buy-in by supporters, to make organisations more effective and relevant. In this regard, it is worth mentioning that “current

reality” (Senge) and “reality” (Nanus) would appear to be the same. However, the issue of defining current reality would imply a subjective evaluation by the SMS member as evaluator.

The SMS member will have to be able to objectively determine what the reality of the organisation (or division) is, to take the necessary actions or interventions, which would take the organisation forward to reach future visions. In this regard, the focus of the particular SMS member is critical. The researcher is of the opinion that individual focus is determined by the reality as defined by the individual, and vice versa. How you view reality is determined by your focus, whether subjectively or not. As defining reality is influenced by subjective influences supported by past experiences and personal motivation, it follows that focus will be determined by individual reality. The researcher is of the opinion that it could thus be argued that your focus will become your reality.

To make their individual components, and therefore also the total organisations more effective, SMS members will first have to objectively analyse the current positions of their individual components, while also taking into account the total organisation. They will then have to decide on what interventions to make to increase the effectiveness of the **individual, team and organisation**, by impacting on the **structural subsystem** (formal design, policies and procedures set forth in the organisation chart and includes patterns of authority and division of work), the **technical subsystem** (the primary functions, activities and operations including the techniques and equipment used to produce the output of the system) and the **psychosocial subsystem**, or culture (the network of social relationships and behaviour patterns of members, such as norms, roles and communications).

The CMCs used in the PMDS will have to assist in the development of **behavioural, technical and organisational** competencies in SMS members, which will be needed to impact on the structural, technical and psychosocial subsystems, to increase **individual, team and organisation** effectiveness.

The analysis of the CMC in terms of focus on organisation transformation and development is set out in **Table 5.2**.

Table 5.2: Analysis of the CMC in terms of focus on organisation transformation and development

	Individual effectiveness	Team effectiveness	Organisation effectiveness
Behavioural competencies	a) Strategic capability and leadership b) People management and empowerment c) Problem solving and analysis d) Communication	e) Strategic capability and leadership f) Programme and project management g) Communication	h) Strategic capability and leadership i) Change management j) Knowledge management k) Client orientation and customer focus l) Problem solving and analysis m) Communication
Technological competencies	n) Knowledge management	o) Knowledge management	p) Knowledge management q) Service delivery innovation r) Programme and project management
Organisational competencies			s) Client orientation and customer focus t) Change management u) Service delivery innovation

The CMCs with their respective descriptions do not provide a descriptive enough basis for analysis. The researcher has therefore chosen to also take into account the Generic Standards for “Outstanding” Performance, as attributed to each CMC (see **Annexure B**). This provides a more comprehensive description of what is expected under each CMC. There is, however, a possible danger in using this, as the descriptions would only be applicable in a case where an SMS member has performed in an “outstanding” manner. Stated differently, it could well happen that an individual SMS member does not perform at this level and the standard is therefore not met. For the purpose of this research, this is not taken into

account and it is accepted that the relevant standard will be met and still be applicable.

The CMCs are numbered alphabetically from a) to u) to enable a description of what generic standard of the CMC could be applicable to the relevant quadrant.

For ease of reference, the descriptions are as follows:

- a) Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisation mandate - gives direction to team; inspires others to deliver; impacts positively on team morale, sense of belonging and participation; inspires staff with own behaviour;
- b) Manages and encourages people, optimises their outputs and effectively manages relationships in order to achieve organisational goals – delegates and empowers others to increase contribution and level of responsibility; facilitates team goal setting and problem solving;
- c) Systematically identifies, analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner – determines root causes of problems and evaluates whether solutions address root causes; demonstrates the ability to break down complex problems into manageable parts and identify solutions;
- d) Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes – encourages participation and mutual understanding;
- e) Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisation mandate – secures co-operation from colleagues and team members; develops detailed action plans to execute strategic objectives;
- f) Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes – defines roles and responsibilities for project team members and clearly communicates expectations;

- g) Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes – encourages participation and mutual understanding;
- h) Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisation mandate – develops detailed action plans to execute strategic objectives; supports stakeholders in achieving their goals;
- i) Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments – initiates, supports and volunteers to lead change efforts outside of his/her own work team; consults and persuades all the relevant stakeholders of the need for change;
- j) Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation – creates mechanisms and structures for sharing of knowledge in the organisation.
- k) Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (*Batho Pele*) into practice – develops clear and implementable service-delivery improvement programmes;
- l) Systematically identifies, analyses and resolves existing and anticipated problem in order to reach optimum solutions in a timely manner;
- m) Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes – encourages participation and mutual understanding;
- n) Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation – creates mechanisms and structures for sharing of knowledge in the organisation;
- o) Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge

of the organisation – creates mechanisms and structures for sharing of knowledge in the organisation;

- p) Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation – uses libraries, researchers, knowledge specialists and other knowledge bases appropriately to improve organisational efficiency; uses appropriate information systems to manage organisational knowledge;
- q) Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals – creates mechanisms to encourage innovation and creativity within functional area and across the organisation;
- r) Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes – uses computer software programmes to help manage project;
- s) Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (*Batho Pele*) into practice – designs internal work processes to improve customer service;
- t) Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments – designs specific projects to enable change that is aligned to the organisational objectives;
- u) Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals – identifies internal process improvement opportunities to service delivery improvement.

The analysis shows that only the two CMCs of financial management and honesty and integrity would not necessarily create, or develop, the capacity of SMS members to impact on organisation transformation and development in their respective organisations. The balance of the CMCs will, to a lesser or greater degree, enable an SMS member to impact on organisation transformation and development in their organisations.

5.3.2 Findings

It would appear that the CMCs would much rather support the leadership styles of active management by exception and transactional leadership than transformational leadership, as the CMCs focus more on outputs. As the PMDS is predominantly focused on maintaining stability and continuity inside the system, it could well be argued that the PMDS would also not formally develop SMS members as leaders with the characteristics of transformational leaders.

A lack of the characteristics of a transformational leader in SMS members could lead to their not being that focused on changing their organisations, but only maintaining the status quo and making adjustments where necessary to meet their stated objectives.

To ensure organisational learning, SMS members would have to be “learning leaders” who also have to perform knowledge management. The leadership role of facilitator would be needed for this, which is absent as leadership focus of the PMDS. The mere fact that knowledge management is a CMC will not as such guarantee that organisational learning will take place, as it could well happen that an SMS member does not include this as a CMC in his/her own PA. In the preceding section it was stated that managers would have to perform the role of facilitator in terms of the CVF to ensure that organisational learning to take place. What is significant in this regard is that it was found that the role of facilitator is not part of the leadership focus of the CMCs.

Given the current developmental focus of the civil service in South Africa, it could be argued that the sluggish-thermostat management style would not be tolerated in the current public service. However, taking the conclusions drawn in this and the previous chapters into account, it could well be that the styles of satisficing management, reactive management, or renewing/transformational management would be the predominant styles required.

The analysis shows that, in terms of organisation transformation and development, the CMCs have a strong focus on the behavioural competence of an SMS member, with a limited focus on technological competence and an even lesser focus on competence in organisation transformation and development. In respect of competence in organisation transformation and development, the analysis shows that the CMCs are mainly focused on the behavioural impact on individual, team and organisation effectiveness. The CMCs have a limited focus on technological competence impacting on individual and team effectiveness, with a stronger focus on organisation effectiveness. The CMCs have no focus on individual or team effectiveness, where organisation transformation and development competence is concerned, but only focuses on organisation effectiveness.

To really effect organisation transformation and development, the SMS member will have to be a transformational leader, who has a predominantly renewing/transformational leadership style. The SMS member will have to be the change agent that leads the organisation to adapt to the changing environment by making the individual, team and organisation more effective through behavioural, technological and organisational interventions. Excluding the CMCs of financial management and honesty and integrity, the balance of the CMCs will, to a lesser or greater degree, enable an SMS member to impact on organisation transformation and development in their organisations.

The CMCs focus mostly on behavioural competence to ensure individual, team and organisation effectiveness. The CMCs also have a limited focus on competence in the field of technology to create individual and team effectiveness, with a stronger focus on using technology to ensure organisation effectiveness. In terms of organisation transformation and development, the CMCs have no focus on individual or team effectiveness, with a larger, albeit still limited focus on organisation effectiveness.

The CMCs therefore, have a limited focus on individual and team effectiveness, with a much stronger focus on organisation effectiveness. It can

therefore also be concluded that, should all the CMCs be part of an individual SMS member's PA, the PMDS will not create or strengthen an SMS member's ability to increase individual or team effectiveness. The primary focus is on output, as has been shown, which does support organisation effectiveness, but not necessarily individual or team effectiveness.

The CMCs make up only 20% of the member's assessment score during appraisal (refer to paragraph 3.3.4). Given the small impact the CMCs will probably have on organisation transformation and development, the situation that the CMCs make up such a small portion of an assessment would further mitigate against the PMDS empowering SMS members to really impact on organisation transformation and development.

Transformational change stands as an opposite to gradual change. As transformational change will entail renewal, SMS members will have to be creative (thinking up new things), as well as innovative (doing new things) with the same limited resources. The manner in which their respective organisations will adapt will depend upon the adaptive orientation they, as learning leaders within learning organisations, instil in their own organisations. Will they adapt only when forced to, or will they adapt to remain effective in a changing environment?

SMS members will therefore have to decide whether they are managers who adhere to the style of sluggish-thermostat management style, the satisficing management style, the reactive management style, or the renewing/transformational management style.

To make their individual components, and therefore also the total organisation more effective, SMS members will first have to analyse the current position of their individual components, while also taking into account the total organisation. As defining reality is affected by subjective influences supported by past experiences and personal motivation, it follows that the focus will be determined by individual reality. How you view reality is determined by your focus, whether your focus is subjective or not.

5.4 CONCLUSIONS

The CMCs used in the PMDS are predominantly leadership-focused. However, there is the issue of the SMS member being able to choose which CMCs will be used in his/her appraisal. It could well happen that CMCs that are predominantly management-focused are decided upon by an individual. The roles of producer and facilitator, with their respective competencies, are not strengthened by the PMDS, whereas the international systems do. The competencies dealing with team work and diversity (possibly also conflict management) and competencies dealing with the manager's personal drive, commitment and resilience are also absent from the PMDS, although present in the international cases. These competencies are also linked to the leadership roles of producer and facilitator, which would make the absence of these roles in the PMDS remarkable.

Not having CMCs that support these two leadership roles could mean that, in terms of the two applicable leadership roles, the PMDS could possibly be developing managers who do not formally develop the competencies linked to the two roles. In terms of this lack of focus, the PMDS could therefore formally develop managers who are not expected to exhibit high degrees of motivation, energy and personal drive (Quinn *et al.*, 1990:54) and who would not foster collective effort, build cohesion and morale and manage interpersonal conflict (Quinn *et al.*, 1990:197).

The PMDS has a predominant focus on control and internal focus (maintaining stability and continuity inside the system). It is also more output-focused, compared to the international systems that are focused on inspiring people to give their best and thereby meet objectives.

The PMDS can be manipulated by SMS members by their not including certain CMCs in their respective personal (individual) development plans. It could then mean that these competencies will never be formally measured or developed.

The SPMS cascades down from the PAs of SMS members. By being output-focused, and by allowing SMS members to decide which CMCs to include in their own PAs, it could well happen that the SPMS is inadvertently “skewed”, by manipulation of the system, to meet outputs that are included in the PAs of SMS members. This could well lead to managers not using the transactional style of leadership, as the primary objective is to meet targets.

It could well happen that the style of transformational leadership is not instilled in SMS members. This could lead to managers not being that focused on changing their organisations, but only maintaining the status quo and making adjustments where necessary to meet their stated objectives in terms of their PAs.

To ensure organisational learning, SMS members would have to be “learning leaders” who also have to perform knowledge management. The leadership role of facilitator would be needed for this, which is absent as a leadership focus of the PMDS. The mere fact that knowledge management as a CMC is included in an SMS member’s PA will not guarantee organisational learning.

The CMCs are mainly focused on the behavioural impact on individual, team and organisation effectiveness. The CMCs have a limited focus on technological competence impacting on individual and team effectiveness, with a stronger focus on organisation effectiveness. The CMCs have no focus on individual or team effectiveness, where organisation transformation and development competence is concerned, but only focuses on organisation effectiveness.

It is therefore questionable whether the CMCs – even if all of them were part of every SMS member’s PA – will contribute to SMS members being, or becoming, learning leaders. SMS members could inadvertently exclude those CMCs that would contribute to OT and OD from their PAs, and as the CMCs make up only 20% of a member’s assessment score, it is therefore questionable whether the CMCs will meaningfully contribute to the leadership

abilities of SMS members to contribute to OT or OD in their respective organisations.

The conclusions drawn in this chapter will be combined with the conclusions drawn in the rest of the thesis in Chapter 6, where the main conclusions will be drawn and recommendations made.

CHAPTER 6

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 SUMMARY

The aim of this research was to determine whether the competencies used in the PMDS are also focused on leadership and organisational development issues needed in a developmental situation. These competencies would enable SMS members to lead their organisations rather than merely acting as the administrators of fixed rules and procedures.

The research was divided into distinct phases. The first entailed exploring the meaning of competence and the conceptual structure of competencies to be able to analyse the CMCs. This was followed by analysing managerial versus leadership competencies in general, to provide a theoretical context for an analysis of the CMCs in terms of management or leadership focus. In the next phase the CMCs as competencies used in the PMDS were also analysed and discussed, after which a comparative analysis was done with competencies used in notable international examples to provide a broader context. In the final phase the CMCs as competencies were analysed in terms of management or leadership focus and focus on organisation development.

6.2 CONCLUSIONS

As there were conclusions drawn at the end of each chapter, this section will serve to highlight certain aspects and themes and not simply repeat all the conclusions.

The main conclusions drawn are the following:

- Leading is in fact a basic management function, along with the other basic functions of planning, controlling and organising. It is therefore

not a question of being a manager or a leader – a manager has definite leadership roles to fulfil. The manager would need specific and definite skills, attributes and knowledge to enable others to achieve the goals of the organisation. This involves leading and managing others to perform tasks necessary to achieve goals;

- Various authors refer to basically the same concept in different terms when competencies are analysed. The competencies used by an organisation would be unique to the needs of the organisation and the specific job, but still in line with most of the theory in the field of competencies;
- It would appear that only the two CMCs of financial management and client orientation and customer focus are not, by their direct descriptions, metacompetencies;
- The PMDS is primarily an output-focused system and, as such, it does not really focus on the development of competencies of SMS members. The danger could be that the ultimate focus and the primary motivator of SMS members becomes financial rewards and not the meeting of objectives, whether organisational or personal. The PMDS could therefore lend itself to SMS members “manipulating” the system to gain the financial rewards that motivate them;
- The fact that the availability of funds will dictate whether an individual SMS member actually receives a bonus could create a situation that these bonuses are provided on a “rotational basis”. This could lead to SMS members “pacing themselves” according to the “cycle” of bonuses awarded;
- Business acumen/entrepreneurship as competency is evident in all the international frameworks analysed, except the PMDS of South Africa. Given the developmental need and limited resources available in South Africa, this would appear strange;
- In the case of the PMDS, there are no “personal” competencies, as is the case of the Netherlands, where energy, stress resistance, performance motivation and learning capacity are very specific competencies within the cluster of resilience;

- In general, the competencies used in the various international systems compare favourably. However, a major difference is the situation that the primary focus of the PMDS is on output and meeting objectives, whereas the international systems would appear to focus more on inspiring people to give their best and thereby meeting objectives;
- The PMDS is rather rigid, in that the same competencies are applicable to all SMS members, irrespective of their specific functions or whether they are employed on a national or provincial level of government. The only option is that an individual SMS member may decide on what specific competencies to be applicable to him/her, other than the three compulsory competencies. This could lead to a manipulation of the system;
- The leadership roles of producer and facilitator are not strengthened by the PMDS, whereas they are by the international systems. The competencies dealing with team work and diversity, and competencies dealing with the manager's personal drive, commitment and resilience are also absent from the PMDS compared to the international cases. These competencies are also linked to the leadership roles of producer and facilitator, which would make the absence of these roles in the PMDS remarkable;
- Not having CMCs that support these two leadership roles could mean that, in terms of the two applicable leadership roles, the PMDS could possibly be developing managers who do not formally develop the competencies linked to the two roles;
- The PMDS has a predominant focus on control and internal focus, compared to the international systems that are focused on inspiring people to give their best and thereby meet objectives;
- The SPMS cascades down from the PAs of SMS members. By being output-focused and by allowing SMS members to decide which CMCs to include in their own PAs, it could well happen that the SPMS is inadvertently "skewed" by manipulation of the system;
- It could well happen that transformational leadership is not instilled in SMS members. This could lead to managers not being that focused on

changing their organisations, but only maintaining the status quo and making adjustments where necessary to meet their stated objectives;

- The leadership role of facilitator would be needed to ensure organisational learning, which is absent as leadership focus of the PMDS. It is therefore questionable whether the CMCs will contribute to SMS members being, or becoming, learning leaders;
- SMS members could inadvertently exclude from their PAs those CMCs that would contribute to OT and OD. As the CMCs make up only 20% of a member's assessment score, it is therefore questionable whether the CMCs will meaningfully contribute to the development of the leadership abilities of SMS members to contribute to OT or OD in their respective organisations.

6.3 RECOMMENDATIONS

The research has shown that there are various serious shortcomings regarding the PMDS as a system, the implementation of the system and the contribution of the system towards the development of competencies of SMS members. The PMDS needs to be redesigned, taking into account the flaws and possible dangers highlighted by this research to ensure that it will meet its primary and stated objectives. This should be done without creating the very real danger that the focus falls so strongly on leadership that "good old management" is neglected.

The following preliminary recommendations are made:

- The CMCs used in the PMDS need to be re-evaluated, as it would appear that the competencies used in other international examples could be highly appropriate in a South African context;
- The situation that the same set of CMCs is used for all SMS members, irrespective of area of functioning or job content, implies that there are just the mentioned competencies that would lead to effective performance. It could well be possible that different collections of competencies could equally be effective in a specific job, where the

competencies are linked to the specific job. The CMCs therefore needs to be re-evaluated;

- The focus of the PMDS needs to be changed from an output-focused system to a management development system, where there is an increased focus on the development of competencies, compared to the current focus on rewarding only output;
- As the PAs inform the activities of all staff managed by an SMS member, it should be considered to have the actual appraisal changed to also include the performance of subordinates as a factor;
- The situation that SMS members have to choose their own CMCs according to their own developmental needs has to change to adopting a more scientific and objective methodology to identify the developmental needs of individual SMS members.

The actual implementation of the PMDS on a day-to-day basis was not part of this research. Given the research findings, it is anticipated that the actual implementation of the PMDS will reveal further flaws and inherent problems.

The researcher therefore intends to use this research as the basis for further investigation into the actual implementation of the PMDS as a management development system in further studies.

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APPENDIX A

**TEMPLATE FOR A PERFORMANCE AGREEMENT
PROVINCIAL GOVERNMENT OF THE WESTERN CAPE**

DEPARTMENT:

BETWEEN

(Names and designations of parties to agreement)

SMS MEMBER:

AND

SUPERVISOR:

PERIOD OF AGREEMENT:

(indicate from when until when, i.e. a full financial year (from 1 April 200__ to 31 March 200__)

JOB DETAILS

Persal number :
 Component :
 Salary level :
 Notch (package) :
 Post designation :

JOB PURPOSE

Describe the purpose of the job (overall focus) as it relates to the Vision and Mission of the Department. Capture the overall accountability that the jobholder has in relation to her/his position.

JOB FUNCTIONS

Describe the key functions that the jobholder is required to perform, based on the job profile, and the departmental strategic/operational plan.

REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES

The SMS member shall report to theas her/his supervisor on all parts of this agreement. The SMS member shall:

- Timeously alert the supervisor of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimised;
- Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations;
- Discuss and thereafter document for the record and future use any revision of targets as necessary as well as progress made towards the achievement of performance agreement measures.

In turn the supervisor shall:

- Create an enabling environment to facilitate effective performance by the SMS member;
- Provide access to skills development and capacity building opportunities;

- Work collaboratively to solve problems and generate solutions to common problems within the department that may be impacting on the performance of the SMS member.

PERFORMANCE APPRAISAL FRAMEWORK

Performance will be assessed according to the information contained in the performance framework (work plan) (attached as Annexure A1) and the Core Management Criteria (CMC) framework (attached as Annexure B). The specific KRAs and CMCs together with their weightings are, for example, as follows:

3.1 The KRAs and CMCs during the period of this agreement shall be as set out in the table below.

The SMS member undertakes to focus and to actively work towards the promotion and implementation of the KRAs within the framework of the laws and regulations governing the Public Service. The specific duties/outputs required under each of the KRAs are outlined in the attached work plan. KRAs should include all special projects the SMS member is involved in. The work plan should outline the SMS member's specific responsibilities in such projects.

KEY RESULT AREAS (KRAs)	Weight
1.	
2.	
3.	
4.	
5.	
TOTAL	100%

3.2 The SMS member's assessment will be based on her/his performance in relation to the duties/outputs outlined in the attached work plan as well as the CMCs marked here-under.

CORE MANAGEMENT CRITERIA		Weight	CORE MANAGEMENT CRITERIA		Weight
Financial Management	✓		Knowledge Management		
People Management and Empowerment	✓		Service Delivery Innovation		
Client Orientation and Customer Focus	✓		Problem Solving and Analysis		
Strategic Capability and Leadership			Communication		
Programme and Project Management			Honesty and Integrity		
Change Management			TOTAL		100%

DEVELOPMENTAL REQUIREMENTS

Provide details on the areas in which development is required. These may relate to the attainment of specific objectives or standards specified for Key Result Areas (KRAs), as well as to the CMCs.

The parties agree that a development plan will be formalised to address developmental gaps as it relates to the attainment of the agreed upon outputs specified for KRAs as well as to the CMCs. The plan for addressing developmental gaps is attached as Annexure C.

TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL APPRAISAL

Assessment of the key responsibilities, outputs and CMCs as stipulated in clause 5 will take place between the two parties as stipulated above and on mutually agreed dates as set out hereunder. Assessment results shall be recorded in writing. Assessment will entail a review of progress made in respect of the fulfilling of the aforesaid responsibilities and outputs and may lead to modifications in either responsibilities or methods of assessment.

Dates of progress reviews :

Date of annual assessment session :

MANAGEMENT OF PERFORMANCE OUTCOMES

Identify and specify what actions will be taken in recognition of superior performance or to address poor/non-performance: (These should be based on Chapter 4 of the SMS Handbook).

DISPUTE RESOLUTION

The parties agree that the process regarding any dispute concerning the nature of a senior manager's key responsibilities, priorities, methods of assessment and/or salary increment or non-compliance with this agreement will be dealt with progressively as follows –
the parties shall agree as a first step to settle any dispute amongst themselves.

The parties shall agree on a mutually accepted mediator within or outside the Provincial Administration which is not a party to the dispute to assist with the resolution of the dispute.

AMENDMENT OF AGREEMENT

Amendments to the agreement should be in writing and can only be effected after discussion and agreement by both parties.

SIGNATURES OF PARTIES TO THE AGREEMENT

The contents of this document have been discussed and agreed with the SMS member concerned.

Name of SMS member:

Signature:

Date:

AND

Name of supervisor of SMS member:

Signature:

Date:

As Head of the Department of _____ I noted the contents of this agreement.

Signature:

Date:

GENERIC CORE MANAGEMENT CRITERIA (CMC) AND STANDARDS

Criteria	Description	Generic Standards for “Outstanding” Performance
Strategic Capability and Leadership	Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisational mandate	<p>Gives direction to team in realising the organisation’s strategic objectives; Impacts positively on team morale, sense of belonging and participation; Develops detailed action plans to execute strategic initiatives; Assists in defining performance measures to evaluate the success of strategies; Achieves strategic objectives against specified performance measures; Translates strategies into action plans; Secures co-operation from colleagues and team members; Seeks mutual benefit/win-win outcomes for all concerned; Supports stakeholders in achieving their goals; Inspires staff with own behaviour – “walks the talk”; Manages and calculates risks; Communicates strategic plan to the organisation; and Utilises strategic planning methods and tools.</p>
Programme and Project Management	Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes.	<p>Establishes broad stakeholder involvement and communicates the project status and key milestones; Defines roles and responsibilities for project team members and clearly communicates expectations; Balances quality of work with deadlines and budget; Identifies and manages risks to the project by assessing potential risks and building contingencies into project plan; Uses computer software programmes to help manage project; and Sets and manages service level agreements with contractors.</p>
Financial Management	Compiles and manages budgets, controls cash flow, institutes risk management and administers tender procurement processes	<p>Demonstrates knowledge of general concepts of financial planning, budgeting and forecasting and how they interrelate; Manages and monitors financial risk; Continuously looks for new opportunities to obtain and save funds; Prepares financial reports and guidelines based on prescribed format; Understands and weighs up financial implications of propositions;</p>

Criteria	Description	Generic Standards for “Outstanding” Performance
	in accordance with generally recognised financial practices in order to ensure the achievement of strategic organisational objectives.	Understands, analyses and monitors financial reports; Allocates resources to established goals and objectives; Aligns expenditure to cash flow projections; Ensures effective utilisation of financial resources; Develops corrective measures/actions to ensure alignment of budget to financial resources; and Prepares own budget in line with the strategic objectives of the organisation.
Change Management	Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments	Performs analysis to determine the impact of changes in the social, political and economic environment; Keeps self and others calm and focused during times of change or ambiguity; Initiates, supports and encourages new ideas; Volunteers to lead change efforts outside of own work team; Consults and persuades all the relevant stakeholders of the need for change; Inspires and builds commitment within own area for the change by explaining the benefits of change, and the process of implementing the change; Coaches colleagues on how to manage change; Proactively seeks new opportunities for change; Identifies and assists in resolving resistance to change with stakeholders; Designs specific projects to enable change that are aligned to the organisational objectives; and Uses the political, legislative and regulatory processes of the Public Service to drive and implement change efforts.
Knowledge Management	Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation.	Uses appropriate information systems to manage organisational knowledge; Uses modern technology to stay abreast of world trends and information; Evaluates information from multiple sources and uses information to influence decisions; Creates mechanisms and structures for sharing of knowledge in the organisation; Uses libraries, researchers, knowledge specialists and other knowledge bases. appropriately to improve organisational efficiency; Promotes the importance of knowledge sharing within own area; Adapts and integrates information from multiple sources to create innovative knowledge management solutions; and

Criteria	Description	Generic Standards for “Outstanding” Performance
		Nurtures a knowledge-enabling environment.
Service Delivery Innovation	Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals.	<ul style="list-style-type: none"> Consults clients and stakeholders on ways to improve the delivery of services; Communicates the benefits of service delivery improvement opportunities to stakeholders; Identifies internal process improvement opportunities to SDI; Demonstrates full knowledge of principles on service delivery innovations; Identifies and analyses opportunities where innovative ideas can lead to improved service delivery; Creates mechanisms to encourage innovation and creativity within functional area and across the organisation; and Implements innovative service delivery options in own department/organisation.
Problem Solving and Analysis	Systematically identifies, analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner.	<ul style="list-style-type: none"> Explains potential impact of problems to own working environment; Demonstrates logical problem solving approach and provides rationale for proposed solutions; Determines root causes of problems and evaluates whether solutions address root causes; Demonstrates objectivity, thoroughness, insight fullness, and probing behaviours when approaching problems; and Demonstrates the ability to break down complex problems into manageable parts and identify solutions.
People Management and Empowerment	Manages and encourages people, optimises their outputs and effectively manages relationships in order to achieve organisational goals.	<ul style="list-style-type: none"> Seeks opportunities to increase personal contribution and level of responsibility; Supports and respects the individuality of others and recognises the benefits of diversity of ideas and approaches; Delegates and empowers others to increase contribution and level of responsibility; Applies labour and employment legislation and regulations consistently; Facilitates team goal setting and problem solving; Recognises individuals and teams and provides developmental feedback in accordance with performance management principles; Adheres to internal and national standards with regards to HR practices; Deals with labour matters; Identifies competencies required and suitable resources for specific tasks;

Criteria	Description	Generic Standards for “Outstanding” Performance
		<p>Displays personal interest in the well-being of colleagues; Able to manage own time as well as time of colleagues and other stakeholders; and Manages conflict through a participatory transparent approach.</p>
Client Orientation and Customer Focus	<p>Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (<i>Batho Pele</i>) into practice.</p>	<p>Develops clear and implementable service delivery improvement programmes; Identifies opportunities to exceed the expectations of customers; Designs internal work processes to improve customer service; Adds value to the organisation by providing exemplary customer service; and Applies customer rights in own work environment.</p>
Communication	<p>Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.</p>	<p>Expresses ideas to individuals and groups both in formal and informal settings in an interesting and motivating way; Receptive to alternative viewpoints; Adapts communication content and style according to the audience including managing body language effectively; Delivers messages in a manner that gains support, commitment and agreement; Writes well structured complex documents; Communicates controversial sensitive messages to stakeholders tactfully; Listens well and is receptive; and Encourages participation and mutual understanding.</p>
Honesty and Integrity	<p>Displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service.</p>	<p>Conducts self in accordance with organisational code of conduct; Admits own mistakes and weaknesses and seeks help from others where unable to deliver; Reports fraud, corruption, nepotism and maladministration; Honours the confidentiality of matters and does not use it for personal gain or the gain of others; Discloses conflict of interests issues; Establishes trust and shows confidence in others; Treats all employees with equal respect; Undertakes roles and responsibilities in a sincere and honest manner;</p>

Criteria	Description	Generic Standards for “Outstanding” Performance
		Incorporates organisational values and beliefs into daily work; Uses work time for organisational matters and not for personal matters; and Shares information openly, whilst respecting the principle of confidentiality.

TEMPLATE: PERSONAL DEVELOPMENT PLAN

Competency to be addressed	Proposed actions	Responsibility	Time-frame	Expected outcome

SENIOR MANAGEMENT QUARTERLY PERFORMANCE REVIEW FORM

WESTERN CAPE PROVINCIAL ADMINISTRATION

DEPARTMENT:

1. PERSONAL DETAILS

SURNAME:

NAME:

DATE OF BIRTH:

DESIGNATION:

OCCUPATIONAL CLASSIFICATION:

DATE APPOINTED IN RANK:

COMPONENT:

DEPARTMENT:

HIGHEST EDUCATIONAL QUALIFICATION:

PERSAL NUMBER:

PERIOD OF REPORT:

2. PARTICULARS ON DEPLOYABILITY/TRANSFERABILITY

Please indicate whether you are deployable/transferable, and if so, your preferences in respect of departments and geographical areas.

3. ACTION POINTS FROM PERFORMANCE REVIEW DISCUSSION

At the end of the performance review, the interviewer should record the conclusion of the performance review discussion here, showing agreed action and recording the outcome of the discussion of the individual's aspirations and possible lateral moves. Any aspects that may possibly have an influence on the confirmation/non-confirmation of the member's probation, should also be included here.

Signature of SMS member:

Signature of supervisor:

Date:

Date:

4. SELF ASSESSMENT AGAINST WORKPLAN

Work through each KRA and assess performance to date in meeting the requirements outlined in the performance measures. Note gaps, reasons for the gaps and steps to be taken to address them.

Ask yourself:

- ✓ What did you achieve?
- ✓ What were the constraints that you experienced?

5. SELF ASSESSMENT AGAINST CMC FRAMEWORK

Work through core management criteria and assess the extent to which the specified standard has been met. Note any gaps, and steps to be taken to address the gaps.

Ask yourself:

- ✓ What are your areas of strength?
- ✓ What are your areas of weakness?
- ✓ What do you aim to do about the weaknesses?

**6. PERFORMANCE ASSESSMENT BY REPORTING OFFICER
(SUPERVISOR)**

ACHIEVEMENT IN KEY RESULT AREAS

(Please give your assessment of the extent to which the jobholder has achieved the desired results, and any shortfalls)

ASSESSMENT OF CORE MANAGERIAL RESPONSIBILITIES

(Please comment on the performance of the jobholder against the requirements of the CMC framework)

7. ASSESSMENT OF POTENTIAL

Comment on the potential of the individual covering the range of areas and career opportunities for which the individual might be most suited, any limitations and your reasons.

Annual Performance Assessment Instrument

Following completion of this form, a copy must be forwarded to the departmental HR Unit

C O N F I D E N T I A L
PERFORMANCE APPRAISAL

Period under review

Surname and initials

Job title

Rank

Remuneration level

Persal no.

Component

Date of entry to current remuneration level:

Race

Gender

(Tick the appropriate box)

Probation

Extended probation

Permanent

Contract

PART 1 – COMMENTS BY RATED SMS MEMBER

(To be completed by the SMS member, prior to appraisal. If the space provided is insufficient, the comments can be included in an attachment)

1. During the past year my major accomplishments as they related to my performance agreement were:

2. During the past year I was less successful in the following areas for the reasons stated:

PART 2 – PERFORMANCE APPRAISAL

Standard Rating Schedule for CMCs and KRAs:

Term	Description	Rating
Level 5: Outstanding	Performance far exceeds the standard expected of a member at this level. The appraisal indicates that the jobholder has achieved exceptional results against all performance criteria and indicators and maintained this in all areas of responsibility throughout the year.	5
Level 4: Commendable (Performance significantly above expectations)	Performance is significantly higher than the standard expected in the job. The appraisal indicates that the member has achieved better than fully effective results against more than half of the performance criteria and indicators and fully achieved all others throughout the year.	4

Level 3: Acceptable (Fully effective)	Performance fully meets the standard expected in all areas of the job. The appraisal indicates that the member has achieved effective results against all significant performance criteria and indicators and may have achieved results significantly above expectations in one or two less significant areas throughout the year.	3
Level 2: Borderline (Performance not fully satisfactory)	Performance is below the standard required for the job in key areas. The appraisal indicates that the member has achieved adequate results against many key performance criteria and indicators but has not fully achieved adequate results against others during the course of the year. Improvement in these areas is necessary to bring performance up to the standard expected in the job.	2
Level 1: Unacceptable performance	Performance does not meet the standard expected for the job. The appraisal indicates that the member has not met one or more fundamental requirements and/or is achieving results that are well below the performance criteria and indicators in a number of significant areas of responsibility. The member has failed to demonstrate the commitment or ability to bring performance up to the level expected in the job despite management efforts to encourage improvement.	1

Rating by Supervisor and SMS member of Key Result Areas (KRAs):

Key Result Areas	Weight (%)	Own rating (1- 5)	Super-visor's rating (1- 5)	Score (per agreed rating)
1.				
2.				
3.				
4.				
5.				
Total	100%			80%

Rating by Supervisor and SMS member of Core Management Criteria (CMCs)

(Details to be completed by Supervisor and SMS member with the aid of the attached guide.)

Assessment factor	Weight (%)	Own rating (1-5)	Supervisor's rating (1-5)	Score (per agreed rating)
Strategic Capability and Leadership				
Programme and Project Management				
Financial Management				
Change Management				
Knowledge Management				
Service Delivery Innovation				
Problem Solving and Analysis				
People Management and Empowerment				
Client Orientation and Customer Focus				
Communication				
Honesty and Integrity				
TOTAL	100%			20%

FINAL SCORE

GRAND TOTAL	OWN RATING	SUPERVISOR'S RATING	Score (per agreed rating)	
KRA (80%)				
CMC (20%)				
Total			Score %	Score (1 – 5)

A summary of the assessment and concomitant performance reward appear on the Assessment Certificate.

**PART 5: CONFIRMATION/EXTENSION/TERMINATION OF PROBATION.
(where applicable)**

Supervisor's comments:

1. I recommend the confirmation of the probation of Ms/Mr _____ in view of the member's diligence and as her/his conduct has been uniformly satisfactory.

OR

2. I recommend that the probation of Ms/Mr _____ be extended for a period of _____ months for the following reasons:

3. I recommend that the probation be terminated for the following reasons:

Signature

Name

Date

Member's comments:

Signature

Name

Date

Signature

Name

Date

Decision by Executing Authority or her/his delegate:

Signature

Name

Date

EXAMPLE OF ANNUAL PERFORMANCE ASSESSMENT – RATING:***RATING KEY RESULT AREAS (80%):***

KRA	WEIGHTING (%)	OWN RATING (1-5)	S/VISOR'S RATING (1-5)	AGREED RATING (1-5)	AGREED RATING WEIGHTED
KRA 1	40%	4	4	4	1,6
KRA 2	20%	4	4	4	0,8
KRA 3	20%	3	3	3	0,6
KRA 4	10%	4	3	3	0,3
KRA 5	10%	3	4	4	0,4
TOTAL KRA	100%				3,7

RATING CORE MANAGEMENT CRITERIA (20%):

CMC	WEIGHTING (%)	OWN RATING (1-5)	SUPERVISOR'S RATING (1-5)	AGREED RATING (1-5)	AGREED RATING WEIGHTED
Financial Management	20%	4	4	4	0,8
People management and development	20%	4	4	4	0,8
Client orientation and customer focus	10%	3	3	3	0,3
CMC 4	10%	4	3	3	0,3
CMC 5	10%	3	4	4	0,4
CMC 6	10%	4	4	4	0,4
CMC 7	10%	4	4	4	0,4
CMC 8	10%	4	4	4	0,4
TOTAL CMC	100%				3,8

CALCULATION OF FINAL SCORE:**FINAL SCORE (%):**

$$\frac{[(80\% \text{ of Total KRA}) + (20\% \text{ of Total CMC])}{5} \times 100\%$$

$$\frac{[(80\% \times 3,7) + (20\% \times 3,8)]}{5} \times 100\%$$

$$\frac{2,96 + 0,76}{5} \times 100\%$$

$$\frac{3,72}{5} \times 100\%$$

74,4%

Thus level 3 rating (65% - 79%)

STANDARD RATING SCALE**Level 5:** ***Outstanding*** (85% and higher)**Level 4:** ***Commendable*** (significantly above expectations: 80 – 84%)**Level 3:** ***Acceptable*** (Fully effective: 65 – 79%)**Level 2:** ***Borderline*** (Not fully satisfactory: 50 – 64%)

PROVINCIAL GOVERNMENT OF THE WESTERN CAPE
ASSESSMENT CERTIFICATE: HEAD OF DEPARTMENT

PERSONAL PARTICULARS						
SURNAME				INITIALS		
DEPARTMENT						
RANK				SALARY LEVEL		
DATE OF ENTRY INTO RANK						
ASSESSMENT						
Score (Mark with an "X")	1 Unacceptable	2 Borderline	3 Acceptable	4 Commendable	5 Outstanding	
Recommended for a cash bonus? (Mark with an "X")				YES	NO	
Percentage of total remuneration package recommended as Cash Bonus				3%	4%	5%
				6%	7%	8%
Recommended for a package progression? (Mark with an "X")				YES	NO	
CERTIFICATION						
I hereby certify that the above is a true reflection of the HOD's job performance. If recommended for a cash bonus, I further certify that she/he rendered services of a more than satisfactory nature in achieving the goals as agreed upon and taken up in her/his performance agreement and that she/he had thus contributed positively towards reaching the goals of this Department and the WCPA. Record of the discussion sessions to support the above-average job performance is available for audit purposes.						
..... Signature: Executing Authority			 Date		
HOD's RESPONSE						
My assessment has been discussed with me and I am in agreement thereof				Yes	No**	
** My reasons for not agreeing with the assessment are as follows (Attach a separate sheet if the space provided is insufficient)						
..... Signature: HOD			 Date		
DECISION						

PROVINCIAL GOVERNMENT OF THE WESTERN CAPE

ASSESSMENT CERTIFICATE: SENIOR MANAGER

PERSONAL PARTICULARS						
SURNAME				INITIALS		
DEPARTMENT						
RANK				SALARY LEVEL		
DATE OF ENTRY INTO RANK						
ASSESSMENT						
Score (Mark with an "X")	1 Unacceptable	2 Borderline	3 Acceptable	4 Commendable	5 Outstanding	
Recommended for a cash bonus? (Mark with an "X")				YES	NO	
Percentage of total remuneration package recommended as Cash Bonus	3%	4%	5%	6%	7%	8%
Recommended for a package progression? (Mark with an "X")				YES	NO	
CERTIFICATION						
I hereby certify that the above is a true reflection of this Senior Manager's job performance. If recommended for a cash bonus, I further certify that she/he rendered services of a more than satisfactory nature in achieving the goals as agreed upon and taken up in her/his performance agreement and that she/he had thus contributed positively towards reaching the goals of this Department and the WCPA. Record of the discussion sessions to support the above-average job performance is available for audit purposes.						
..... Signature: Supervisor			 Date		
SENIOR MANAGER'S RESPONSE						
My assessment has been discussed with me and I am in agreement thereof				Yes	No**	
** My reasons for not agreeing with the assessment are as follows (Attach a separate sheet if the space provided is insufficient)						
.....						
..... Signature: Senior Manager			 Date		
DECISION						
Recommendation approved/not approved.						
..... Signature: HOD			 Date		